

Why do sex chromosomes progressively lose recombination?

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Opinion 1 2 Why do sex chromosomes progressively lose recombination? 3 4 Paul Jay^{1,2}*, Daniel Jeffries³, Fanny E. Hartmann², Amandine Véber⁴, Tatiana Giraud² 5 6 ¹Center for GeoGenetics, University of Copenhagen, Copenhagen, Denmark 7 ²Université Paris-Saclay, CNRS, AgroParisTech, Laboratoire Ecologie Systématique et Evolution, UMR 8079, 8 Bâtiment 680, 12 route RD128, 91190 Gif-sur-Yvette, France 9 Division of Evolutionary Ecology, Institute of Ecology and Evolution, University of Bern, 3012 Bern, Switzerland. 10 4 Université Paris Cité, CNRS, MAP5, F-75006 Paris 11 *corresponding author 12 **ORCID** Numbers: 13 TG:0000-0002-2685-6478 14 PJ: 0000-0001-5979-1263 15 DJ: 0000-0003-1701-3978 16 FEH: 0000-0002-9365-4008 17 AV: 0000-0003-4464-015X 18 Abstract

19 Progressive recombination loss is a common feature of sex chromosomes. Yet, the evolutionary 20 drivers of this phenomenon remain a mystery. For decades, differences in trait optima between 21 sexes (sexual antagonism) has been the favoured hypothesis, but convincing evidence is lacking. 22 Recent years have seen a surge of alternative hypotheses to explain progressive extensions and 23 maintenance of recombination suppression: neutral accumulation of sequence divergence, selection 24 of non-recombining fragments with fewer deleterious mutations than average, sheltering of 25 recessive deleterious mutations by linkage to heterozygous alleles, early evolution of dosage 26 compensation and constraints on recombination restoration. Here, we explain these recent 27 hypotheses and dissect their assumptions, mechanisms and predictions. We also review empirical 28 studies that have brought support to the various hypotheses.

Keywords: sex chromosomes, mating-type chromosomes, recombination suppression, evolutionary
 strata, supergenes, inversion

31 Main text

32 Why does recombination suppression progressively extend on sex chromosomes?

33 The loss of recombination on sex chromosomes is an enigma that has fascinated evolutionary 34 biologists for decades. Recombination indeed allows efficient selection and the purging of 35 deleterious mutations [1,2]. Recombination suppression therefore leads to the accumulation of 36 deleterious mutations and thus the degeneration of sex chromosomes [3,4], which can account for 37 diseases and the shorter life-span of XY males in many species, including humans [5,6]. Despite 38 these long-term detrimental effects, progressive extensions of recombination suppression with time 39 has been documented on sex chromosomes in many plants and animals [7-17]. However, the 40 question of why recombination suppression progressively extends beyond genes involved in sex determination is still unresolved [18,19]. 41

42 The most widely accepted hypothesis to explain progressive extensions of recombination 43 suppression on sex chromosomes has long been sexual antagonism (see Glossary) [18,20-23]. 44 Linking sexually antagonistic genes to the sex-determining loci could be beneficial, because it 45 ensures, for example, that only males express male-beneficial, female-deleterious alleles. Though 46 appealing, little evidence has been found that supports this hypothesis [24-29]. Furthermore, progressive extensions of recombination suppression have recently been documented around 47 48 autosomal supergenes [30,31] (see Glossary), as well as on mating-type chromosomes in fungi that 49 lack differentiated sexes and phenotypic differences between mating types [32-34] (See Glossary). 50 Additionally, many species with strong sexual dimorphism do not show progressive extensions of 51 recombination suppression on sex chromosomes [15,35-38]. Recently, several new hypotheses have 52 been proposed, which do not invoke sexual antagonism, but instead are based on non-selective 53 processes or on the presence of deleterious mutations in genomes [39-43]. Here, we synthesise the 54 hypotheses developed to explain the evolution of recombination suppression, either in a single step 55 or progressively, and in particular the ones we developed [39,41]. We also identify predictions of 56 the different hypotheses explaining progressive extensions of recombination, evaluate empirical evidence, and suggest directions for future empirical research. We focus on the evolutionary causes 57 58 of recombination suppression and discuss the proximate mechanisms in Box 1.

59 I- Evolutionary mechanisms explaining recombination suppression around sex-determining 60 loci but no progressive extension

61 Various hypotheses have been developed for explaining recombination suppression between the

- 62 genes involved in sex- or **mating-type** determination, which has been extensively reviewed [19,25].
- 63 These hypotheses are based on the emergence of dioecy via male-sterility and female-sterility genes
- 64 [44-46], the proper key and lock functions in mating compatibility [32,45,47] or meiotic drive [44].
- 65 Other hypotheses can explain recombination suppression beyond sex-determining genes but not
- 66 progressive extension; these include the pre-existence of regions with low rates of recombination
- 67 [26,48-52] and the promotion of particular segregation patterns at meiosis [53]. Below we focus on
- the evolutionary mechanisms driving progressive recombination suppression, either gradually or
- 69 through stair-like **evolutionary strata** (see Glossary).

70 II- Evolutionary mechanisms explaining progressive loss of recombination

71 Understanding the evolutionary causes of progressive recombination suppression requires

72 recognizing three distinct stages: i) the initial selective advantage of non-recombining fragments

that makes them rise in frequency, ii) the conditions that allow them to reach fixation despite their

74 captured or accumulated recessive deleterious mutations, iii) the maintenance of non-recombining

75 fragments on sex chromosomes despite degeneration that results from recombination suppression.

76 Understanding progressive recombination suppression around sex- and **mating-type** determining

genes, and other heterozygous supergenes, also requires elucidating why this does not occur
elsewhere in genomes.

79

i) Evolutionary mechanisms allowing non-recombining fragments to rise in frequency *Directly beneficial non-recombining fragment

Non-recombining fragments can be directly beneficial, for example if inversion breakpoints generate beneficial mutations by changing gene expression, generating duplications, chimeric genes or deletions [54]. This has been suggested in the case of autosomal **supergenes** [54-56] and could be applicable to **evolutionary strata** on sex chromosomes [42]. Indeed, if a beneficial inversion overlaps with the existing non-recombining region in a sex chromosome, it can only fix on the sex chromosome in which it appeared (X or Y). This will maintain the inversion at the heterozygous state, thereby expanding the non-recombining region between the two sex chromosomes.

89 *Beneficial allelic combinations: sexual antagonism and local adaptation

The first proposed selective advantage of non-recombining fragments on sex chromosomes is the linkage of **sexually antagonistic** loci to sex-determining genes, so that, for example, only males carry alleles that are only beneficial to males [57,58] (Figure 1a). Theoretical models have however suggested that **sexual antagonism** may be better solved through the differential expression of autosomal genes [59].

- 95 Another well-known advantage of recombination suppression is for promoting local adaptation, i.e.
- 96 for maintaining beneficial allelic combinations in different environments in the face of gene flow
- 97 [55,60]. Theoretical models suggested that X-like chromosomes (i.e. sex chromosomes recombining
- 98 in one sex) may disproportionately contribute to local adaptation because selection is more efficient
- 99 [61]. Such non-recombining fragments on X-like chromosomes would suppress recombination with
- 100 Y-like chromosomes.

101 *Selection for less-loaded or "lucky" fragments

Another selective advantage of non-recombining fragments can be that, by chance, they occur on a chromosomal segment with fewer deleterious mutations than the population average in this genomic region [62], which occurs in nearly half of reasonably large, random inversions [39]. These "less**loaded**" [39] (see Glossary) or "lucky" fragments [40] have a direct intrinsic fitness advantage and should therefore increase in frequency, in autosomes or in sex chromosomes (Figure 1b).

107

*Initial sheltering advantage under inbreeding or automixis

108 Non-recombining fragments linked to a **permanently heterozygous allele** (see Glossary) could be 109 favoured due to the sheltering (see Glossary) of their partially recessive deleterious mutations (Box 110 2). Indeed, the linkage to a **permanently heterozygous allele** can maintain recessive deleterious 111 mutations in a heterozygous state, allowing the masking of their deleterious effects. However, such 112 sheltering is only possible if there is **linkage disequilibrium** (see Glossary) between loci with 113 recessive deleterious mutations and the permanently heterozygous allele. Such linkage 114 disequilibrium indeed means that some deleterious mutations can be more frequent on the permanently heterozygous, Y-like chromosome than on the X, so that their effect can be masked 115 116 by functional copies on the X-like chromosome (Figure 1c, Boxes 2 and 3). The **linkage** 117 **disequilibrium** can be generated by partial inbreeding, drift [63] or by particular mating systems, 118 such as automixis (see Glossary) [64,65].

119 **Neutral hypotheses*

120 Neutral inversions (i.e., with selective effects weaker than genetic drift) linked to the sex-

121 determining gene could rise in frequency via genetic drift more often on sex chromosomes than on

122 autosomes, because of the smaller effective population size of sex chromosomes [24,57,66-69]. A

- recent model [41] simulated neutral point mutations accumulating at the margin of the non-
- recombining region, increasing sequence divergence between sex chromosomes. Provided that
- sequence divergence reduces local recombination rates, this can, in turn, increase genetic linkage
- 126 with the non-recombining region [41] and subsequently lead to further accumulation of sequence
- 127 divergence (Figure 1d). This self-reinforcing neutral process could progressively extend the non-
- 128 recombining region. The enrichment of transposable elements in non-recombining regions could

- also promote the progressive extension of the non-recombining region as these elements often carrysilencing marks with a recombination-suppressing effect (e.g. methylation) [68,70,71], and the
- 131 silencing marks can extend to nearby regions [72].
- 132

133 ii) Fixation of non-recombining fragments despite mutation load

134 The mechanisms reviewed above can explain the rise in frequency of non-recombining fragments, and several can apply to autosomes or X-like chromosomes. However, any relatively large non-135 136 recombining genomic segment is likely to include partially recessive deleterious mutations (i.e. 137 mutation load; see Glossary). When such loaded autosomal or X-linked non-recombining 138 fragments spread in a population, they will increasingly occur in a homozygous state, which will expose their recessive deleterious mutations. This will stop their spread, regardless of the reason 139 140 why they initially increased in frequency. Therefore, non-recombining fragments carrying deleterious recessive mutations on autosomes and X-like chromosomes will be unlikely to fix, 141 142 unless they benefit from a strong fitness advantage compensating their **mutation load**

143 [39,42,62,73].

144 In contrast, non-recombining fragments that capture a permanently heterozygous allele (e.g. a Y-

145 like sex-determining allele) will never be homozygous, even when becoming frequent [31,74]. By

becoming linked to a **permanently heterozygous locus**, the deleterious recessive mutations on the

147 non-recombining fragments become **sheltered** (Figure 1e). As above, this **sheltering** effect requires

148 **linkage disequilibrium** between these deleterious mutations and the **permanently heterozygous**

149 **allele.** Here, linkage disequilibrium is generated by the increase in frequency of the non-

150 recombining fragment that captured both the permanently heterozygous allele and the deleterious

151 mutations (Box 2). This key phenomenon has been overlooked in recent debates about the

sheltering hypothesis [43,75]. For example, in the case of a loaded non-recombining fragment on a

153 Y chromosome having risen in frequency (regardless of the reason why), the frequency of the

154 captured deleterious mutations will be much higher on the Y than on the X chromosome

155 (constituting linkage disequilibrium); consequently, these mutations are sheltered. Such sheltering

allows non-recombining fragments to reach fixation on Y-like chromosomes despite carrying

157 recessive deleterious mutations [39,43]. This **sheltering** effect has been modelled for the lower-load

- advantage [39], but can apply to other selective advantages and neutral hypotheses. The
- 159 sheltering effect during the fixation phase on Y-like chromosomes could thus explain why

160 recombination suppression extends on sex chromosomes and not on autosomes.

161 The fitness of non-recombining fragments may erode with time during the fixation phase, as they

accumulate deleterious mutations because of recombination suppression [39,43,76,77]. To reach

- 163 fixation, their fitness needs to remain above average until fixation. Simulations showed that the
- accumulation of deleterious mutations during the fixation phase did not prevent many non-
- 165 recombining fragments from fixing on Y-like sex chromosomes under a wide range of parameters
- 166 [39,40,43]. New, partially recessive deleterious mutations accumulating during fixation of a non-
- 167 recombining fragment on a Y-like chromosome will also be **sheltered**, as they are unlikely to also
- 168 occur on the X-like chromosome.
- 169

170 iii) Long-term persistence of non-recombining regions

Once non-recombining fragments are fixed on sex chromosomes, they accumulate further
deleterious mutations, in particular because recombination suppression renders selection less
efficient [3]. Selection could therefore favor recombination restoration when the **mutation load** of
non-recombining fragments becomes higher than their initial selective advantage (Figure 1f).

175 To explain the persistence of non-recombining regions despite accumulated **mutation load**, a first 176 hypothesis postulates that rearrangements accumulate more rapidly in these regions than deleterious 177 mutations. When non-recombining regions have accumulated a mutation load outweighing their 178 selective advantage, the chaos of rearrangements they carry would render recombination restoration 179 very difficult [39]. This is called the "constraint" hypothesis (Figures 1g and 2), as recombination 180 restoration is prevented by rearrangements constraining the possibility of regenerating a collinear, 181 recombinant chromosome. Indeed, if multiple overlapping or nested inversions accumulate 182 following recombination suppression (as often observed [33,78-83]), the only way of restoring a 183 fully recombining chromosome is that new inversions occur at the same breakpoints and in the 184 same reverse order as the initial inversions occurred [39]. Nested or overlapping inversions can re-185 align a fraction of the genes, but some other genes will remain shuffled. This hypothesis does not 186 predict that non-recombining sex chromosomes are everlasting, only that evolutionary strata persist 187 long enough to be observed. Once sex chromosomes are too much degenerated, there could be sex 188 chromosome turnover, i.e., the sex-determining genes could move to an autosome, as reported in 189 several organisms [84].

A second hypothesis, called the "regulatory hypothesis", postulates that there is no constraint on recombination restoration, but that **dosage compensation** (see Glossary) evolves very rapidly and renders recombination restoration deleterious (Figure 1h). In this hypothesis, inversions that have accumulated following recombination suppression can be reversed relatively easily by subsequent inversions reusing the same breakpoints and in the same order. However, **dosage compensation** evolves early [40,85]: degenerated genes on the Y-like sex chromosome become silenced owing to a decrease in the strength of their cis-regulators (Figure 1h), which is very rapidly compensated for 197 by changes in their pre-existing gene-specific, sex-specific *trans*-acting gene expression

198 regulators (see Glossary) maintaining near-optimal expression in both sexes. Under these

199 conditions, recombination restoration is selected against as it results in a mismatch between

200 expression regulators, generating suboptimal gene expression [40]. The recent debate opposing

201 the constraint and regulatory hypotheses [86] stems from a lack of understanding that the constraint

202 hypothesis does not imply a lack of dosage compensation evolution in the long term; the constraint

203 hypothesis only postulates that the maintenance of non-recombining regions does not require *early*

204 evolution of dosage compensation.

205 A third hypothesis to explain the persistence of evolutionary strata could be that **sexually**

antagonistic mutations accumulate following recombination suppression on sex chromosomes [83],

207 conferring an advantage stronger than the accumulating **mutation load**, therefore selecting against
 208 recombination restoration.

209 III- Predictions of the recent hypotheses and available evidence

Below we highlight predictions for the various hypotheses explaining the progressive extension of
recombination suppression as well as available evidence. Additional predictions can be made,
for example on the frequency of sex chromosome-autosome fusions, the fitness decrease of the **heterogametic** sex (see Glossary), the footprints of selective sweeps or the impact of effective
population size, but they currently lack theoretical investigations.

215 Sexually antagonistic gene enrichment in Y-like chromosomes

The **sexual antagonism** hypothesis predicts that non-recombining regions should be enriched in **sexually antagonistic** genes, as this would be the way to resolve **sexual antagonism**. Such a pattern has however very rarely been documented despite being intensively investigated [24,28,87-90]. In the rare cases where sex chromosomes appeared enriched in **sexually antagonistic** genes, such as in male coloration genes on the Y chromosome in a guppy [91], low recombination rates on the Y chromosome may have favored the subsequent establishment of **sexually antagonistic** genes [50,92,93].

223 Correlation between sexual dimorphism level and number of evolutionary strata

A related prediction of the **sexual antagonism** theory is that a higher number of **evolutionary**

strata and larger non-recombining regions (considering size before degeneration) should occur in

species with stronger sexual dimorphism. However, sexually antagonistic genes can accumulate on

sex chromosomes after recombination suppression [83], which could lead to a correlation between

228 non-recombining region size and sexual dimorphism level. In contrast, the absence of such a 229 correlation contradicts the **sexual antagonism** hypothesis, provided that the sexual dimorphism 230 level was accurately assessed. Some comparative studies found significant positive correlations 231 between non-recombining region size and dimorphism [92,94], while others found none [81]. In 232 particular, some species display monomorphic sex chromosomes despite sexual dimorphism [35-233 37], and others heteromorphic sex chromosomes despite low dimorphism levels [94]. In addition, 234 the existence of multiple evolutionary strata on mating-type chromosomes in a variety of fungi 235 [33,53,79,95,96], despite the absence of gamete dimorphism and of other types of antagonistic 236 selection [34], shows that **sexual antagonism** is not required for the evolution of progressive 237 recombination suppression.

238

239 Mating system

The initial **sheltering** advantage hypothesis predicts the existence of **evolutionary strata** only in species with automictic or partially inbreeding mating systems [64,97]. Progressive recombination suppression has been reported in inbreeding termites [98,99] and in many automictic fungi [53,95,96,100-102] (Figure 3). However, **evolutionary strata** also occur in sex chromosomes of many species with random mating [7,19,22], so that other mechanisms should be able to generate **evolutionary strata**.

246 Lack of recombination suppression around multi-allelic self-incompatibility loci

The constraint hypothesis may predict that the long-term persistence of non-recombining regions 247 248 could be more challenging in multi-allelic systems, such as plant self-incompatibility loci. Indeed, 249 when more than two alleles are present at self-incompatibility loci, some alleles can be lost. Alleles 250 around which recombination suppression has evolved could thus be lost once they have 251 accumulated too many deleterious mutations [39]. In contrast, they could persist under the 252 hypotheses postulating that they harbor strong intrinsic advantage. The persistence of non-253 recombining fragments via dosage compensation may also be more challenging around multi-254 allelic loci, as **dosage compensation** should depend on the expression level of the alternative allele 255 and there are many different ones at multi-allelic loci. These predictions need theoretical 256 investigations, but data so far do suggest lack of recombination suppression extension beyond 257 multi-allelic self-incompatibility loci in plants [103] and multi-allelic mating-type loci in fungi 258 (Figure 3).

259 Ploidy in the main phase of life cycles

260 A prediction of the theories involving deleterious mutations is that only organisms with extended 261 diploid or **dikaryotic** (see Glossary) phases in their life cycles should display progressive recombination suppression, because i) haploid life cycles more efficiently purge them [104] and/or 262 263 ii) only diploid or **dikaryotic** phases can shelter recessive deleterious mutations. This prediction of 264 evolutionary strata being present only in diploid/dikaryotic organisms also holds for the regulatory hypothesis [40], because **dosage compensation** can only evolve when cells carry two 265 266 different alleles. In contrast, sexual antagonism and neutral processes could promote 267 recombination suppression in organisms with predominantly haploid life cycles [105]. In fungi, 268 evolutionary strata have been observed only in dikaryotic species (Figure 3). Among ascomycetes, that are usually haploid during most of their life cycle, a **dikaryotic** main phase has 269 270 evolved repeatedly, and has been found systematically associated with extension of recombination 271 suppression around **mating-type** loci [32,53,101,102] (Figure 3), in contrast to haploid ascomycetes 272 [106,107]. Bryophytes and algae could allow investigating the impact of the diploid phase length on 273 the number of evolutionary strata [17,108-112]. Brown algae with long haploid phases in fact 274 seem to lack evolutionary strata on their sex chromosomes [109,110]. In some green algae, 275 however, mating-type or sex chromosomes seem to display strata-like patterns despite a prolonged 276 haploid phase [111,113].

277 Mutation rate and their fitness effect

278 The lower-load advantage and the fixation-sheltering hypotheses predict more evolutionary strata 279 when the **mutation load** is higher [39], and therefore for higher rates of deleterious mutations and 280 more deleterious effects [114]. The neutral hypothesis predicts expansions of the non-recombining 281 region when neutral mutation rates are high [41]. The neutral/deleterious mutation rate should not 282 impact the number of **evolutionary strata** for other hypotheses, while the rate of **sexually** 283 antagonistic mutations may have an effect under the sexual antagonism hypothesis. New 284 sequencing and computational methods [115] should be able to provide estimates of mutation rates 285 and distribution of mutation fitness effects across a wide variety of organisms to test the existence 286 of a correlation with the number of evolutionary strata [116].

287 Overdominance in young evolutionary strata

288 The various theories based on deleterious mutation **sheltering** (Box 2) predict that, because of their

recessive **mutation load**, non-recombining fragments should often be **overdominant** (see

290 Glossary). Overdominance has been documented in several supergenes, for example in butterflies,

- 291 zebra finches and ants [31,117,118]. In order to detect recessive deleterious mutations that would
- be a cause and not only a consequence of recombination suppression, experimental investigation of

the **overdominance** of non-recombining fragments should be conducted on very young

evolutionary strata. Overdominance could be tested, for example, by comparing the growth, as a

proxy of fitness, in fungi that carry young evolutionary strata and can be cultivated either as haploidor dikaryotic mycelia.

297 Gradual versus stair-like pattern of recombination cessation

298 Patterns of gradual recombination suppression, as opposed to stair-like patterns, would support 299 neutral rather than adaptive processes. Indeed, very small non-recombining fragments are less likely 300 to capture haplotypes with a selective advantage compared to large non-recombining fragments, so 301 that recombination suppression involving small steps (yielding an apparently continuous 302 progressive extension) is likely generated by neutral processes [41]. Patterns of discontinuous strata 303 (stair-like) have been reported in a wide range of organisms, from plants and animals to fungi [22,32,33,53,79,83,119-124]. Although more rarely, cases of more continuous shifts in the pseudo-304 305 autosomal boundaries have been documented [49,125-128]. Assessing whether the divergence 306 pattern is discrete or gradual is challenging but change-point analyses and high-quality genome

307 assemblies provide valuable insights [129,130].

308 Relative rates of rearrangements versus degeneration following recombination suppression

309 The constraint hypothesis explaining the long-term persistence of non-recombining regions predicts 310 that inversions or other rearrangements occur more rapidly than the fitness decrease due to the 311 accumulation of deleterious mutations, so that multiple overlapping rearrangements completely 312 reshuffle gene order before degeneration is strong. Data in anther-smut fungi, with dozens of 313 independent events of recombination suppression of different ages, show that rearrangements within 314 non-recombining regions become chaotic before they accumulate non-synonymous substitutions or 315 suboptimal codon usage [4,33,79,95,131] (Figure 2). In the plant *Rumex hastatulus* too, extensive 316 rearrangements occurred on the sex chromosome before any gene loss or transposable element 317 accumulation [132]. With such a rapid accumulation of overlapping rearrangements, occurring 318 before strong degeneration, it seems extremely unlikely that recombination could be restored. This 319 would indeed require reverting inversions by subsequent inversions reusing the same breakpoints, 320 in the same order as they occurred. Only two cases of such inversion reversions have been 321 documented in the extensively studied Drosophila melanogaster [133]. For reversions to be 322 possible, the number of possible inversion breakpoints should be limited along genomes [39]. The 323 chaos of rearrangements in fungal **mating-type** chromosomes [33,78-80] and in Y chromosomes 324 [81-83], and a study on inversion polymorphism in humans [134], show in contrast that the number 325 of possible inversion breakpoints is high. However, we need data on inversion rates and their

breakpoints, for example by analysing progenies and populations with long-read sequencing.

327 It has been argued that the occurrence of sex chromosome turnovers would be a way to restore 328 recombination of rearranged, degenerated sex chromosomes [86], and that this possibility meant 329 that the constraint hypothesis could not explain long-term persistence of recombination suppression. 330 However, sex-chromosome turnovers do not contradict the constraint hypothesis (see above) [135]: 331 they may suggest, in contrast, that evolutionary strata have persisted long enough in populations to 332 degenerate, without early dosage compensation. Furthermore, sex chromosome turnovers likely 333 cannot occur in UV systems or mating-type chromosomes, in which the two chromosomes are non-334 recombining and therefore degenerate: there is no X-like recombining chromosome that retains all 335 its functional genes and can become an autosome.

336 More frequent inversions on sex chromosomes than on recombining chromosomes

337 The local adaptation hypothesis predicts more frequent inversions on X-like chromosomes

338 (recombining in one sex) than on autosomes [61,136]. Because both chromosomes are non-

recombining in UV systems and mating-type chromosomes, this mechanism may not be able togenerate strata in these systems, which could allow testing this hypothesis.

341 The theories involving **sheltering** (Box2) predict more frequent inversions on Y-like chromosomes

than on autosomes or X-like chromosomes, due to the permanent heterozygosity of Y-like

343 chromosomes and the associated sheltering of captured deleterious recessive mutations [39].

344 Empirical data suggest that rearrangements fix more frequently on Y-like than on X-like

345 chromosomes or autosomes [33,79,82], although this needs to be formally tested, controlling for

possible confounding factors, such as increased mutation rates in males [137] and inversion

347 accumulation after recombination suppression.

348 Gene-specific dosage compensation through cis- and trans-acting factors

349 An assumption of the **dosage compensation** hypothesis for explaining the long-term persistence of 350 non-recombining regions is that the expression of many genes needs to be finely dosed, as the hypothesis requires the rapid evolution of a complex dosage compensation mechanism [85]. A 351 352 prediction is therefore that dosage compensation should be observed in many genes and in all young 353 strata. Dosage compensation has been observed in several organisms, in particular mammals [138-354 140]. However, the mere existence of **dosage compensation** is not a support for the regulatory 355 hypothesis, as it can evolve late in the degeneration process under all other hypotheses. Conversely, 356 the lack of **dosage compensation** in any species or strata would indicate that the regulatory

357 hypothesis cannot explain evolutionary strata, at least in such organisms. Many systems with

evolutionary strata exhibit incomplete or complete lack of dosage compensation, e.g. in birds,
snakes, fishes, turtles, frogs and plants [15,128,141,142,143-145]. Elucidating the temporal
dynamics of changes in gene expression compared to that of degeneration following recombination
suppression could help testing the regulatory hypothesis.

362 Another prediction of the regulatory hypothesis [40] is that numerous sex-specific trans-acting gene expression regulators already exist before recombination suppression, constituting a kind of 363 364 sexual dimorphism. However, it remains to be assessed whether i) numerous trans-acting gene-365 specific, sex-specific regulators occur along genomes and whether ii) they exist before the evolution 366 of recombination suppression. In mosquitoes for example, a single major regulator globally controls 367 dosage compensation on the whole X chromosome [146]. In mammals too, dosage compensation 368 occurs globally, by inactivating a whole X chromosome in each cell [147]. Dosage compensation 369 may be even more challenging to achieve in UV-like systems, as both sex or mating-type 370 chromosomes are permanently heterozygous, and so are expected to degenerate, with the most 371 degenerated allele being on one or the other chromosome depending on the gene. **Dosage** 372 compensation would therefore need to evolve on many genes with *trans*-acting gene-specific, 373 mating-type-specific regulators, and it remains to be assessed whether this can occur in nature. No 374 dosage compensation has actually been reported so far in UV systems or fungal mating-type 375 chromosomes, although this needs to be further explored.

376 IV. Concluding Remarks and Future Perspectives

377 In this paper, we aimed at summarising the hypotheses developed for explaining a long-standing 378 puzzle, the progressive evolution of recombination suppression in sex chromosomes and autosomal 379 supergenes. We have dissected predictions made by the different hypotheses and provided 380 examples of tests that could allow to disentangle hypotheses. However, data is currently too scarce 381 (see Outstanding Questions). Many of the predictions can indeed only be tested using comparative 382 studies with data available on many species, with diverse traits and large-scale population genomic 383 data. The Tree of Sex initiative (https://treeofsex.sanger.ac.uk/) aiming at building a database 384 compiling information on reproductive systems and associated data across eukaryotic life could be 385 highly useful to disentangle the hypotheses. The present paper provides clues on which traits need 386 to be informed in this database. Of course, the various proposed mechanisms are not mutually 387 exclusive and several may act in nature, in combination or in different organisms.

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- 396
- 397 **Declaration of Interests:** the authors declare no conflicts of interest

Boxes:

Box 1: Proximate mechanisms influencing progressive recombination suppression

400 Perhaps the simplest and most widely discussed proximate mechanism suppressing recombination 401 is via an inversion, whereby sequence collinearity is immediately broken over a large region 402 [55,148]. Crossing-over interference also occurs at the margin of inversions, mechanistically 403 preventing recombination much farther than around the inversion breakpoints [149,150]. Inversions 404 are often considered the primary proximal cause of the classic stair-like evolutionary strata effect on sex chromosomes. However, inversions can also evolve as a consequence of recombination 405 406 suppression. Only a handful of studies have explicitly shown accordance between the boundaries of 407 evolutionary strata and breakpoints of inversions [83,151]; in contrast, multiple young 408 evolutionary strata are still collinear in fungi [32,53,79,80,96,102,152]. Experiments have further 409 shown that rearrangements cannot explain alone recombination suppression around mating-type 410 loci in a unicellular alga [111].

411 Most of the hypotheses reviewed in this paper can work with inversions as well as with other 412 proximal mechanisms. The insertion of transposable elements in regions of low recombination 413 could for instance result in the inhibition of recombination in surrounding regions, due to the host 414 silencing responses (e.g. DNA methylation or repressive chromatin) [68]. DNA methylation can 415 indeed lead to recombination suppression [68,71,72,153-157]. Proximate mechanisms of 416 recombination suppression could also be *trans-or cis-acting* recombination modifiers [158,159] 417 (see Glossary). The lack of recombination in the mating-type chromosomes of the yeast Lachancea 418 *kluyveri* is due to the lack of recruitment of proteins responsible for double-strand breaks [160]. 419 Sequence divergence accumulating in the low-recombination part near the sex-linked region could 420 also prevent recombination [41,161-163].

421 The proximal mechanisms of recombination suppression may however have evolutionary 422 consequences. Indeed, if the proximal mechanism of recombination suppression was an inversion, 423 recombination restoration would require an inversion reversion, i.e., the restoration of the original 424 sequence orientation via a second inversion reusing the same breakpoints. Restoring recombination 425 may be easier with other proximal mechanisms, unless rearrangements rapidly accumulate within 426 non-recombining regions. In addition, some evolutionary hypotheses are directly associated with 427 the proximal mechanism suppressing recombination, such as the hypotheses of beneficial inversion 428 breakpoints changing gene function or regulation, or the spread of transposable element silencing 429 marks suppressing recombination. Furthermore, the proximate causes can impact the likelihood of 430 non-recombining fragment fixation. For example, inversions can create lethal aneuploids (i.e. with

missing chromosomal parts), which can reduce fertility and thereby hinder inversion spread in
populations. Indeed, recombination within an inversion may lead to unbalanced gametes, with some
gametes having a large duplication and some others a large deletion. In such cases, the selective
advantage of non-recombining fragments must be higher than their intrinsic cost, which has been

taken into account only in some models [39].

436

437 Box 2: Conditions allowing a sheltering advantage on sex chromosomes

The **sheltering** of recessive deleterious mutations corresponds to the masking of non-optimal alleles by functional ones owing to their maintenance in a heterozygous state. This occurs on sex chromosomes due to the linkage, via recombination suppression, of deleterious mutations to a **permanently heterozygous allele**, provided that these deleterious mutations are less frequent on the alternative sex chromosome (i.e. that there is **linkage disequilibrium** between the sexdetermining locus and the deleterious mutations). Such **sheltering** can play a role in several phases of sex-chromosome evolution.

Sheltering is most known to potentially act after the fixation of non-recombining fragments, as new recessive deleterious mutations occurring in the non-recombining fragment are absent from the homologous chromosome, therefore remaining heterozygous. This leads to the accumulation of deleterious mutations, thereby contributing to the degeneration of sex chromosomes [2,77,164].

449 **Sheltering** can also favor the initial spread of non-recombining fragments, provided there is 450 linkage disequilibrium between deleterious recessive mutations and the sex-determining locus [165]. Indeed, if a deleterious allele is more often on the Y than on the X chromosome, 451 452 recombination suppression linking the deleterious mutation and the heterozygous sex-determining 453 allele is advantageous, as it reduces the proportion of offspring homozygous for the recessive 454 deleterious mutation [64]. The initial linkage disequilibrium between deleterious mutations and 455 the heterozygous sex-determining allele can be due to drift or to non-random mating, e.g. under 456 automixis or inbreeding [64,97,166].

In large populations with random mating, even a small amount of recombination restores
linkage equilibrium between a locus with deleterious mutations and a permanently heterozygous
locus, preventing any initial gain due to sheltering [164,167]. In such populations, the sheltering
of deleterious mutations can nevertheless contribute to the fixation of beneficial non-recombining
fragments on Y-like sex chromosomes regardless of their initial advantage. Indeed, the rapid
increase in frequency of such non-recombining fragments generates an over-representation of their

463 deleterious mutations on the Y-like chromosome compared to its homologous chromosome, and the

464 lack of recombination maintains **linkage disequilibrium** (a phenomenon overlooked in recent

debates about the sheltering effect [43,75]). This leads to the **sheltering** of these deleterious

466 mutations, even in large populations and under random mating, allowing the fixation of these non-

467 recombining fragments on Y-like chromosomes despite their **mutation load** [39]. Linkage

468 **disequilibrium** will also exist between the sex-determining locus and new deleterious mutations

469 occurring in the non-recombining fragment during its fixation phase, also allowing their **sheltering**.

470

471 **Box 3: The different roles of deleterious mutations in recent models**

In several recent models aiming at explaining the progressive evolution of recombination
suppression in sex chromosomes [39,40,43], deleterious mutations play important roles. These
hypotheses are based on the observations that many deleterious mutations typically segregate in
genomes under mutation-selection equilibrium in diploid organisms [39,73,168-170]. In these
recent models, deleterious mutations play distinct roles in the three stages of the evolution of
suppressed recombination :

i) non-recombining fragments with fewer deleterious partially recessive mutations than average (i.e.
being "less-loaded" or "lucky") have a higher fitness than the mean of the population and therefore
increase in frequency [39,40]; there is no sheltering effect at this initial stage;

481 ii) when non-recombining fragments increase in frequency thanks to their intrinsic advantage or 482 genetic drift, they increasingly occur at a homozygous state, which exposes their **mutation load** if 483 they carry recessive deleterious mutations. It is only when they also capture a **permanently** 484 heterozygous (Y-like) allele that they can continue increasing in frequency, as their recessive 485 deleterious mutations are then sheltered; non-recombining fragments with a recessive mutation 486 load are unlikely to fix on autosomes or X-like chromosomes [39]. Further deleterious mutations 487 may accumulate during the course of fixation [62], but a wide range of parameters still allow their fixation [39,43,75]. Several points have not been always fully understood on this sheltering effect 488 489 [75]. First, the above sheltering effect only acts when non-recombining fragments are frequent, and 490 it needs to be studied separately from the "less-loaded" effect driving the initial increase in 491 frequency of non-recombining fragments. Second, neutral non-recombining fragments do not 492 constitute the right control to evaluate the sheltering effect, as this effect only allows non-493 recombining fragments to fix *despite* their load. Therefore, this effect can only be studied by 494 comparing autosomes (where sheltering does not occur) to sex chromosomes (where sheltering

495 occurs), and *with* deleterious mutations segregating: the autosomes are the right controls for the496 sheltering effect, as they carry the load but cannot be sheltered.

497 iii) After fixation on Y-like chromosomes, the non-recombining fragments will accumulate new deleterious alleles due to recombination suppression, and will eventually become more **loaded** than 498 499 average, which should select for restoring recombination. The persistence of evolutionary strata 500 (at least long enough to be observed) can be due to constraints because too many overlapping 501 rearrangements have also accumulated, so that reversion to the initial, recombining state is unlikely 502 to occur [39], or because **dosage compensation** has already evolved, rendering recombination 503 restoration less advantageous [40], or because sexually antagonistic genes have also accumulated. 504 Under the constraint model, evolutionary strata eventually degenerate and fitness decreases, so 505 there can be sex-chromosome turn-over, i.e. the relocation of the sex-determining genes in a 506 different chromosome pair. This model could thus produce heteromorphic chromosomes and 507 maintain them long enough to be observed [39].

508 Link to a 5 minute movie explaining the Jay et al. 2022 model:

509 https://www.youtube.com/watch?v=svFZB-n6VWA&ab_channel=PixVideosProductionCompany510

511 Highlights

512 - Explaining recombination suppression in sex chromosomes requires understanding i) the selective

advantage of non-recombining fragments, if any; ii) the reasons for their persistence following

514 degeneration; and iii) why these mechanisms occur specifically around sex-determining genes.

515 -Theories propose that recombination suppression can evolve due to neutral processes, sexual

516 **antagonism**, the capture of fewer deleterious mutations than average, or the **sheltering** of

517 deleterious mutations by **permanently heterozygous alleles**.

518 -Recombination suppression can be maintained by constraints due to overlapping chromosomal

rearrangements, by rapid evolution of dosage compensation or by sexually antagonistic mutation
accumulation .

521 -These hypotheses make different predictions, for example on sexual dimorphism, ploidy, **mutation**

522 **load**, **dosage compensation**, mating system or chromosomal rearrangements rates.

524 Outstanding Questions Box

525 -Is recombination suppression neutral or selected for? 526 -Are the following traits associated with progressive extensions of recombination suppression? i) 527 sexual dimorphism, ii) other types of antagonistic selection, iii) the existence of an extended diploid 528 or dikaryotic phase, iv) level of mutation load in populations (i.e., number and recessiveness of deleterious mutations), v) particular mating systems (e.g., automixis or inbreeding), vi) number of 529 530 alleles at mating compatibility genes, vii) dosage compensation evolution, and viii) heterogamety 531 asymmetry (e.g. XY versus UV). 532 -Does progressive suppression of recombination occur in a stair-like fashion or following a more 533 continuous process? 534 -Can recombination be restored after having been suppressed? Are full reversions possible for 535 inversions? How frequently do they occur? 536 -Do overlapping inversions accumulate more rapidly than deleterious mutations following 537 recombination suppression? Does this prevent the restoration of recombination once the fitness 538 advantage of non-recombining fragments is offset by their accumulated mutation load? 539 -Does dosage compensation evolve rapidly and systematically? Are many genes sensitive to gene 540 expression levels? Can dosage compensation evolve in systems without sex chromosome 541 asymmetry? 542

543 Glossary

544 <u>Automixis</u>: mating between the product of a single meiosis.

545 <u>Cis-acting factor</u>: DNA sequence acting on the expression of a gene or on the level of

546 recombination in its local genomic environment, as opposed to *trans*-acting factors, that act on

547 distant genes or genomic regions.

548 <u>Dikaryotic</u>: condition in some fungi, with two genetically distinct, unfused nuclei in each cell, one

549 from each of the two parents. This situation is functionally similar to diploidy.

- 550 <u>Dosage compensation</u>: processes by which diploid gene expression level is restored following the
- 551 degeneration of an allele on the Y-like sex chromosome. This can involve a gene expression
- 552 increase in the X-like sex chromosome or of alleles in both chromosomes.
- 553 Evolutionary strata: segments in a non-recombining region with different levels of differentiation
- between haplotypes (e.g. between sex chromosomes), resulting from a stepwise extension of
- 555 recombination cessation at different times.
- 556 <u>Heterogametic</u>: qualifies a sex producing two different types of gametes, distinguished by the sex
- 557 chromosome that is contained within. For example, in XY or X0 systems the male is the
- beterogametic sex, while in ZW or Z0 systems the female is heterogametic.
- 559 Linkage disequilibrium: a situation in which two loci have alleles that are not randomly associated,
- i.e. some allelic combinations are more frequent than expected under random association given
- allelic frequencies.
- 562 <u>Loaded</u>: qualifies a DNA fragment carrying deleterious mutations, see mutation load below.
- 563 <u>Mating types</u>: phenotypes controlling mating compatibility, with only different mating types being
 564 able to mate, without differences in gamete size.
- 565 <u>Mutation load</u>: reduction of individuals' fitness due to the presence of deleterious mutations
 566 segregating in the population.
- 567 <u>Overdominance</u>: situation where the fitness of the heterozygote is higher than that of either
 568 homozygous parents
- 569 <u>Permanently heterozygous allele</u>: an allele never found in the homozygous state. For example,
 570 sex-determining alleles on Y or W chromosomes, mating-type alleles in fungi and some self 571 incompatibility alleles in plants. Other alleles at the same locus can be homozygous, such as sex-
- 572 determining alleles on X chromosomes or some self-incompatibility alleles. At fungal mating-type
- 573 loci, all alleles are permanently heterozygous, so the locus itself is permanently heterozygous.
- 574 <u>Sexual antagonism</u>: opposing forces of selection at one or multiple loci which encode traits for
 575 which females and males have different fitness optima.
- 576 <u>Sheltering</u>: Effect of masking recessive deleterious mutations from natural selection thanks to the 577 maintenance of a heterozygous state, e.g., by a linkage to a permanently heterozygous allele (Boxes 578 2 and 3).

- 579 <u>Supergene</u>: set of multiple genes inherited as a single locus due to recombination suppression.
- 580 *Trans*-acting gene expression regulators: DNA sequences regulating the expression of genes that are
- 581 located in a distant locus in the genome, as opposed to *cis*-acting factors, situated just nearby the
- 582 genes whose expression they regulate.

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1004 FIGURES:





2. Fixation of non-recombining fragments: the fixation-sheltering hypothesis

e Sheltering of deleterious mutations

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On **autosomes**, the occurence of individuals **homozygous** for recessive deleterious mutations **prevents the fixation of loaded non-recombining segments**

The **linkage disequilibrium** generated by a rapid increase in frequency of non-recombining fragments allows the **sheltering** of their recessive deleterious mutations on the heterogametic sex chromosome

3. Long-term maintenance of recombination suppression









Figure 2: Comparison of the accumulation dynamics of non-synonymous substitutions (as a proxy
for deleterious mutations) and of rearrangements, in the non-recombining regions of mating-type
chromosomes of various ages in anther-smut fungi; figures adapted from [4,79,95]. The points
correspond to non-synonymous substitutions between alleles on the two mating-type chromosomes
in 22 independent events of recombination suppression (evolutionary strata), in 13 *Microbotryum*species. Circos plots display the synteny levels between the two mating-type chromosomes in six

- 1022 *Microbotryum* species, with collinear regions in blue and inverted regions in orange.
- 1023 Rearrangements are already chaotic when non-synonymous substitutions begin to accumulate.

- 1024 Pictures of the corresponding *Microbotryum* species are shown as spores in the anthers of their host
- 1025 plants (credit: Michael E. Hood).

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1028 Figure 3: Recombination suppression seems associated in fungi to the existence of a substantial 1029 dikaryotic phase (in opposition to haploid fungi), with only two mating-type alleles, and sometimes with an automictic mating system. A dikaryotic or diploid main phase and an 1030 automatic mating system are indeed predicted to be associated with the evolution of stepwise 1031 1032 recombination suppression under hypotheses involving deleterious mutations. In addition, when multiple alleles are present at mating incompatibility loci, there can be a turnover of alleles, with the 1033 1034 loss of the alleles around which recombination suppression has evolved, once they have 1035 accumulated too many deleterious mutations.