

# **Evaluating a simple approximation to modeling the joint evolution of self-fertilization and inbreeding depression**

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### 1 ABSTRACT

2

3 A comprehensive understanding of plant mating system evolution requires detailed genetic 4 models for both the mating system and inbreeding depression, which are often intractable. A 5 simple approximation assuming that the mating system evolves by small infrequent 6 mutational steps has been proposed. We examine its accuracy by comparing the evolutionarily 7 stable selfing rates it predicts to those obtained from an explicit genetic model of the selfing 8 rate, when inbreeding depression is caused by partly recessive deleterious mutations at many 9 loci. Both models also include pollen limitation and pollen discounting. The approximation 10 produces reasonably accurate predictions with a low or moderate genomic mutation rate to 11 deleterious alleles, on the order of  $U = 0.02$  to 0.2. However, for high mutation rates, the 12 predictions of the full genetic model differ substantially from those of the approximation, 13 especially with nearly recessive lethal alleles. This occurs because when a modifier allele 14 affecting the selfing rate is rare, homozygous modifiers are produced mainly by selfing, which 15 enhances the opportunity for purging nearly recessive lethals and increases the marginal 16 fitness of the allele modifying the selfing rate. Our results confirm that explicit genetic models 17 of selfing rate and inbreeding depression are required to understand mating system evolution.

### 1 INTRODUCTION

2 Inbreeding depression, the relative decrease in fitness of inbred vs. outbred individuals, is a 3 critical force in the evolution of mating systems, with complex evolutionary dynamics. 4 Numerous theoretical approaches have explored these dynamics, and sometimes its joint 5 evolution with the mating system, when inbreeding depression is caused by overdominance 6 (Uyenoyama and Waller 1991b), or by deleterious recessive alleles at one (e.g. Uyenoyama 7 and Waller 1991a; Glemin 2003) or many loci with (Charlesworth et al. 1991) or without 8 (Lande and Schemske 1985; Charlesworth et al. 1990; Lande et al. 1994) epistatic interactions 9 or genetic linkage (Charlesworth et al. 1992). All these approaches stress the critical influence 10 of the genetic basis of inbreeding depression and its evolutionary dynamics on mating system 11 evolution (see e.g. Porcher et al. 2009 for an example of how the dynamics of inbreeding 12 depression substantially modify the predictions of an ecological model of mating system 13 evolution). Yet, most models that address the effect of ecological forces on mating system 14 evolution have overlooked the dynamics of inbreeding depression, which is often considered 15 fixed (Goodwillie et al. 2005). Simplified models of mating system evolution abound because 16 modeling the joint evolution of mating system and inbreeding depression requires detailed 17 genetic models for both characters, which are often intractable.

18 One approximation to modeling the joint evolution of inbreeding depression and mating 19 system was proposed by Lande and Schemske (1985) and later extended by Johnston (1998) 20 to incorporate ecological mechanisms (seed and pollen discounting) in the evolution of plant 21 mating systems. This approximation is used to find joint equilibria of the mating system and 22 inbreeding depression, by examining the indirect selection gradient on small changes in the 23 selfing rate, assuming the mating system evolves by infrequent small mutation steps. The 24 mating system is assumed to undergo no direct selection, but evolves because of its influence 25 on inbreeding depression. This approximation contains elements of Evolutionarily Stable



24 and pollen discounting, two ecological mechanisms that influence the evolution of plant



- 2 (Holsinger 1991; Knight et al. 2005; Porcher and Lande 2005).
- 3
- 4 THE MODELS
- 5 THE APPROXIMATION
- 6 We assume a large (effectively infinite) population with selfing rate  $\bar{r}$  in which an initially
- 7 rare modifier with selfing rate *r* appears. The resident and modifier genotypes may differ (1)
- 8 in their total seed set *T*, due to pollen limitation, and (2) in the amount of pollen exported for
- 9 outcrossing, *P*, due to pollen discounting (the decrease in pollen export caused by self-
- 10 fertilization, Harder and Wilson 1998). The fitness of the modifier genotype affecting the
- 11 selfing rate incorporates the automatic advantage of selfing (Fisher 1941), by weighting selfed
- 12 seed twice as much as outcrossed seed
- 13

14 
$$
w = r\overline{w}_1T(r) + (1-r)\frac{\overline{w}_0}{2}T(r) + (1-\overline{r})\frac{\overline{w}_0}{2}\frac{P(r)}{P(\overline{r})}T(\overline{r})
$$

16 where  $\overline{w}_0$  and  $\overline{w}_1$  are the mean fitnesses of outcrossed and selfed progeny, respectively 17 (Lande and Schemske 1985; Johnston 1998, eq. 2a). The intensity of selection on the modifier 18 with a small effect on the selfing rate is approximately proportional to the selection gradient: 19

20 
$$
\frac{1}{\overline{w}_0 T(\overline{r})} \frac{\partial w}{\partial r}\bigg|_{r=\overline{r}} = \frac{1}{2} - \delta + \left[ \frac{r(1-\delta)}{T(\overline{r})} \frac{\partial T(r)}{\partial r} + \frac{(1-r)}{2T(\overline{r})} \frac{\partial T(r)}{\partial r} + \frac{1-\overline{r}}{2P(\overline{r})} \frac{\partial P(r)}{\partial r} \right]_{r=\overline{r}}
$$

21

22 where  $\delta = 1 - \overline{w}_1 / \overline{w}_0$  is the inbreeding depression in the resident population assumed to be at 23 mutation-selection equilibrium for the given selfing rate (Lande and Schemske 1985).

1 Evolutionary equilibrium selfing rates occur when the selection gradient is zero, which yields 2 the level of inbreeding depression that exactly counterbalances all other constraints on the 3 evolution of selfing, i.e. the automatic advantage, reproductive assurance in the presence of 4 pollen limitation, and pollen discounting

5

6 
$$
\delta(\overline{r}) = \frac{1}{2} \left[ 1 + \frac{\frac{\partial \ln T(r)}{\partial r} + (1 - \overline{r}) \frac{\partial \ln P(r)}{\partial r}}{1 + r \frac{\partial \ln T(r)}{\partial r}} \right]_{r = \overline{r}}
$$
(1)

7

8 The right-hand side of equation (1), hereafter referred to as the constraint function, can be 9 compared to the inbreeding depression  $\delta(\bar{r})$  expected at equilibrium in a population with 10 selfing rate *r* under any explicit genetic model for inbreeding depression. Equilibrium selfing 11 rates occur at the intersections of the constraint function and  $\delta(\bar{r})$  (Fig. 1).

12 To model inbreeding depression, we use the Kondrashov model (1985), which describes 13 the evolution of the distribution of number of partly recessive deleterious alleles per mature 14 plant in the population when mutations occur at an infinite number of unlinked loci in an 15 infinite population (Lande et al. 1994; Porcher and Lande 2005). We considered separately 16 two contrasting classes of deleterious mutations that are believed to cause inbreeding 17 depression (Charlesworth and Willis 2009): nearly recessive lethal mutations vs. partially 18 recessive, mildly deleterious mutations. We also analyzed a model incorporating a constant 19 'background' inbreeding depression into a Kondrashov model with nearly recessive lethals, 20 because the equilibrium inbreeding depression due to stabilizing selection on quantitative 21 characters, or to nearly additive, mildly deleterious mutations, undergoes relatively little 22 purging in response to an increased selfing rate (Porcher and Lande 2005; and see Fig. S1 in 23 Supporting Information).



15 fertilization, is the ratio of self-pollen to total pollen landing on the stigma  $r = P_s/(P_s + P_o)$ , 16 which can also be written

17

18 
$$
r(\alpha) = \frac{(1-\alpha)\pi_s P_T}{(1-\alpha)\pi_s P_T + \overline{\alpha}\pi_o P_T} = \frac{1-\alpha}{1-\alpha+\overline{\alpha}\pi}
$$
 (2)

19

20 where  $\pi = \pi_o/\pi_s$ , the relative success of outcross vs. self pollen, quantifies the strength of 21 pollen discounting (Porcher and Lande 2005).

22 The amount of pollen the modifier genotype exports for outcrossing is  $P = \alpha \pi_0 P_T$ , 23 which can be written as a function of the selfing rate using equation (2),  $\alpha = 1 - r\overline{\alpha}\pi/(1-r)$ , 24 so that

$$
P(r) = \left(1 - \frac{r\overline{\alpha}\pi}{1-r}\right)\pi_o P_r.
$$
 (3)  
3  
d Under pollen limitation, the total seed set *T* of the modifier genotype depends on the amounts  
of self and outcomes pollen landing on the sigma,  
6  

$$
T = 1 - \exp[-P_o - P_o] = 1 - \exp[-\pi_o P_r(\overline{\alpha} + (1-\alpha)/\pi)]
$$
8  
which can also be written as a function of the selling rate *r* using equation (2),  
10  

$$
T(r) = 1 - \exp[-\pi_o P_r\overline{\alpha}/(1-r)].
$$
 (4)  
12  
From equation (4), one can see that  $\pi_o P_T$ , the amount of pollen exported by a completely  
outcrossing individual that reaches a sigma, can be used to quantify pollen limitation  
independently of the population mating system.  
Noting that  $\overline{\alpha} = (1-\overline{r})/[1-\overline{r}(1-\pi)]$  and differentiating equations (3) and (4) we find  

$$
\frac{\partial \ln P(r)}{\partial r}\Big|_{r=\overline{r}} = -\frac{\pi}{(1-\overline{r})^2}
$$
 and 
$$
\frac{\partial \ln T(r)}{\partial r}\Big|_{r=\overline{r}} = \frac{[1-T(\overline{r})]\pi_o P_r}{T(\overline{r})(1-\overline{r})(1-\overline{r})(1-\overline{r})}.
$$

22 the equilibrium selfing rates expected under the approximation (Fig. 1A-C). The stability of

21 the constraint function and inbreeding depression  $\delta(\bar{r})$  is then explored numerically to obtain

23 an equilibrium is found by comparing the values of the constraint function and  $\delta(\bar{r})$  around

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25 selfing rates that can be compared between the two theoretical approaches. The genomic

1 mutation rate to deleterious mutations was  $U = 0.02, 0.2$  or 1; the dominance coefficient of 2 lethals was set to  $h = 0.02$  (references in Lande and Schemske 1985; Lande et al. 1994); 3 mildly deleterious mutations were characterized by  $s = 0.05$  and  $h = 0.4$  (references in 4 Halligan and Keightley 2009). We also analyzed a model with such nearly recessive mutation 5 to lethals and a constant background inbreeding depression of  $d = 0.25$  (Winn et al. 2011). 6 The relative success of self vs. outcross pollen  $\pi$  was varied between 10<sup>-4</sup> (no pollen 7 discounting) and 0.9999 (strong pollen discounting). We also considered a wide range for the strength of pollen limitation, from  $\pi_o P_T = 0.5$  to  $\pi_o P_T = 10^{10}$ . These values correspond to seed 9 sets of 0.4 and 1, respectively, for a completely outcrossing population. In the figures, we use 10 a value of  $\pi_0 P_T = 1.5$  for moderate pollen limitation, corresponding to a seed set of 0.78 in a 11 completely outcrossing population, which is representative of realistic values observed in 12 natural populations (Knight et al. 2005).

13 In the full genetic model, we examined the spread of a rare modifier allele that increased 14 or decreased the selfing rate compared to the resident population (see Porcher and Lande 2005 15 for details). Because we were interested in the accuracy of the approximation when the selfing 16 rate evolves by small steps, we considered a rare modifier that increased or decreased selfing 17 by  $10^{-6}$ . The modifier allele was introduced at an initial frequency of  $10^{-8}$  in a resident 18 population at mutation-selection equilibrium for lethals. The modifier genotypes were initially 19 at frequencies expected for a population with inbreeding coefficient  $f = \overline{r}/(2-\overline{r})$  (Wright 20 1921, 1969) and in linkage and identity equilibrium with lethal alleles. The recursion 21 equations were numerically iterated for 2,000 generations to detect successful invasion of the 22 modifier of the selfing rate. We verified that if the resident population is initially not at a 23 stable equilibrium selfing rate, a modifier allele causing a small change in the selfing rate 24 toward the equilibrium eventually becomes fixed.

1 RESULTS AND DISCUSSION





1 and recessive lethal mutations build up over a few dozen generations. As a result, a modifier 2 allele that eventually invades and becomes fixed may initially decrease in frequency (Schultz 3 and Willis 1995). Thus the simulations were run for 2,000 generations to detect successful 4 invasion.

5 Differential purging of the load associated with modifier genotypes is transient; for a 6 modifier of small effect destined for fixation the homozygous modifier gains genetic load as it 7 becomes common (Schultz and Willis 1995). The initial differential purging for a rare 8 modifier depends little on the magnitude of the modifier effect, and also occurs for (neutral) 9 mutations with no impact on the selfing rate (Charlesworth 1991). However, it can strongly 10 influence the fate of mating system modifiers even with very small effect, and alter the 11 evolutionarily stable selfing rate and inbreeding depression by shifting the equilibrium selfing 12 rate, especially when inbreeding depression is caused by nearly recessive lethals. Overall, this 13 promotes enhancers of selfing under broader conditions than expected with the 14 approximation, as demonstrated in earlier studies (Lande and Schemske 1985; Charlesworth 15 et al. 1990; Uyenoyama and Waller 1991c; Schultz and Willis 1995). We have shown here 16 that the joint evolution of inbreeding depression and mating system, combined with common 17 mechanisms of pollination ecology, also favors mixed mating over complete outcrossing more 18 often than predicted by the approximation.

19

20 *Conclusion* – We show that the accuracy of the approximation depends primarily on the 21 genomic mutation rate to lethals, for which few estimates are available. The best estimates, 22 from *Drosophila*, indicate that  $U = 0.01 - 0.03$  per genome per generation (Fry et al. 1999; 23 Charlesworth et al. 2004). Evidence suggests that annual plants may have comparable values 24 of *U* (e.g. Jürgens et al. 1991 in *Arabidopsis thaliana*). For such species, the approximation is 25 accurate. However, mutation rates to lethals may be an order of magnitude higher  $(U = 0.2)$  in





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- 12

## 1 FIGURE CAPTIONS



17 Figure 2. Equilibrium selfing rates predicted by the approximation vs. the full genetic model, 18 when inbreeding depression is caused by nearly recessive lethals, under different levels of 19 pollen discounting, pollen limitation and background inbreeding depression. Stable or 20 unstable equilibria are indicated by squares or circles. Only intermediate equilibria are shown. 21 Points on the *x*-axis correspond to intermediate equilibria predicted by the full genetic model 22 that do not exist under the approximation. Complete outcrossing and complete selfing are 23 always equilibria; their stability depends on the existence of intermediate equilibria. When 24 there is a single stable intermediate selfing rate,  $r = 0$  and  $r = 1$  are unstable; when the stable 25 intermediate selfing rate coexists with a lower unstable intermediate selfing rate,  $r = 0$  is

- 1 stable and *r* = 1 is unstable. Grey levels indicate pollen discounting values. Levels of pollen
- 2 limitation as in Figure 1.



Figure 1



Figure 2