1 Genomic imprinting drives eusociality

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24 Abstract

25 The origin of eusociality, altruistically foregoing personal reproduction to help others, has 26 been a long-standing paradox ever since Darwin. Most eusocial insects and rodents 27 likely evolved from subsocial precursors, in which older offspring "helpers" contribute to 28 the development of younger siblings without a permanent sterile caste. The driving mechanism for the transition from subsociality (with helpers) to eusociality (with lifelong 29 30 sterile workers) remains an enigma because individuals in subsocial groups are subject to direct natural selection rather than kin selection. Our genomic imprinting theory 31 32 demonstrates that natural selection generates eusociality in subsocial groups when parental reproductive capacity is linked to a delay in the sexual development of offspring 33 34 due to sex-antagonistic action of transgenerational epigenetic marks. Focusing on 35 termites, our theory provides the missing evolutionary link to explain the evolution of eusociality from their subsocial wood-feeding cockroach ancestors, and provides a novel 36 37 framework for understanding the origin of eusociality.

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39 Introduction

40 The origin of eusociality poses a major challenge to Darwin's theory of natural selection 41 (Darwin, 1859) and it remains a subject of debate today (Kay et al., 2020; Nowak et al., 2010; Wilson and Hölldobler, 2005). Eusociality is an advanced state of sociality 42 characterized by the presence of workers that forego personal reproduction in exchange 43 44 for altruistic behavior toward close relatives. It has long been studied within the paradigm 45 of inclusive fitness and kin selection (Hamilton, 1964). However, the role of kin selection 46 in the origin of eusociality remains controversial (Wilson and Hölldobler, 2005). 47 Explanations of the origin of new traits are faced with the "selection paradox," the notion that selection cannot act on traits that do not yet exist, and therefore cannot directly 48 49 cause novelty (Jacob, 1977; Müller and Wagner, 1991). While biologists have made great progress in the last 150 years in understanding how existing traits diversify, we 50 51 have made less progress in understanding how novel traits arise in the first place. What 52 generates the novelty-here the first appearance of sterile workers? 53 In colonies of eusocial insect (ants, bees, wasps and termites), workers take on nonreproductive tasks and contribute to their parents' reproduction (Wilson, 1971). The 54

55 colony essentially behaves as a superorganism operating as a functionally integrated

56 unit, analogous to the organization of unitary organisms (Hölldobler and Wilson, 2009). In eusocial colonies, the worker caste is an extended phenotype of the parents. Unlike 57 unitary organisms, however, the extended phenotype of a social insect colony enables 58 59 selection to act at both the individual (within-colony selection) and colony levels (between colony selection). Suppose the first eusocial colony appears on Earth. This 60 61 colony uniquely has lifelong sterile workers, while all other attributes are identical to 62 other colonies. Initially, the colony cannot compensate for the loss of fitness due to 63 sterility of some offspring unless the parents can simultaneously increase their reproductive output to produce a greater number of fertile offspring. One or more 64 65 underlying mechanisms are required to link worker sterility with increased reproductive 66 capacity of the parents.

Termite societies, like those of eusocial Hymenoptera (ants and some bees and 67 wasps), are generally large families with a reproductive division of labor. These two 68 69 groups evolved complex societies independently with different life history pre-70 adaptations for social evolution. Termites are the oldest social insects, with societies 71 dating back to 150 million years ago (Bourguignon et al., 2015). Eusociality in termites 72 evolved from a subsocial precursor that lived in close family groups and occupied dead 73 trees, as in its sister group Cryptocercidae (woodroaches) (Thorne, 1997) (Fig. 1). The 74 confined nest cavities, slow development due to poor nutritional quality of wood, and 75 need for refaunation of obligate gut symbionts selected for parental care and long-term 76 associations of monogamous family groups (Nalepa, 1994). One requisite condition for 77 the origin of eusociality is iteroparity, which is not present in extant semelparous 78 woodroaches (Korb, 2008; Thorne, 1997). In the subsocial ancestor, iteroparous parents 79 produced brood of staggered age classes living together, where all surviving offspring 80 eventually matured into reproductive imagoes and dispersed to found new colonies. 81 The evolutionary transition from subsociality to eusociality, where the older brood 82 spend a prolonged period in the immature stages within the natal nest and eventually 83 become lifelong workers that contribute to the production of younger brood, is an enigma 84 (Korb, 2008; Thorne, 1997). Although the shift of brood care from parents to older offspring, i.e., helpers, allows the parents to engage more in reproduction, selection is 85 86 still acting at the individual level rather than the colony level at the subsocial stage. Why did helpers delay and eventually sacrifice their own reproduction under individual-level 87 selection? We show that this paradox can be solved by genomic imprinting. 88

89 Recent studies reveal that the transfer of epigenetic marks from parents to offspring 90 can influence offspring phenotype independently of DNA sequence (Bonduriansky and Day, 2008; Chong and Whitelaw, 2004; Ferguson-Smith, 2011; Jablonka and Raz, 91 2009). Such 'epigenetic inheritance' provides the key to many unsolved puzzles in a 92 93 wide range of biological processes by circumventing the limitations of genetic inheritance (Bonduriansky and Day, 2008; Matsuura, 2020a; Pál and Miklós, 1999). Genomic 94 95 imprinting can be differentially marked in eggs and sperm, and inheritance of these 96 epigenetic marks causes genes to be expressed in a parental-origin-specific manner in 97 the offspring (Reik and Walter, 2001). Genomic imprinting has been proposed as a 98 mechanism underlying the parental effects on caste determination (Matsuura et al., 2018) and the evolution of asexual queen succession in termites (Matsuura, 2017; 99 100 Matsuura et al., 2018, 2009) (see supplementary text, Figs. S1 and S2). Thus, queenand king- specific epigenetic marks antagonistically influence the development of 101 102 offspring resulting in "neuter" workers whose sexual development is suppressed due to 103 counterbalanced maternal and paternal imprinting. 104

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106 **Model**

General framework. To consider the evolutionary transition from subsocial to eusocial 107 108 in the ancestor of termites, we suppose a diploid subsocial organism in which a male 109 and a female cooperatively found a new colony in an enclosed habitat. We performed 110 evolutionary simulations by running colony generation G, where each generation 111 includes a colony life cycle as a part of the simulation (Fig. 2, Fig. S6). The colony life 112 cycle is given as follows. An individual has longevity Φ (years), where its age i varies from 0 to Φ . Individuals spend $\tau \geq \tau_{min}$: the shortest time to become alates) in their 113 natal nests and become alates that disperse. The colony dies when the parents die. 114 115 Thus, colony longevity T is given by $\Phi - \tau$ (Fig. 2A), where colony age t varies from 0 to 116 T. Fitness gain ω_t of the colony at t is the sum of the reproductive values of dispersing alates (Fig. 2A). Total fitness of the colony W is given by 117 $W = \sum_{t=0}^{T} \omega_t$. 118

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120 **Colony foundation.** We consider a monogamous pair of a male and a female founding 121 a new colony in a nest inside wood. The work performance of each parent is ρ (J/year),

that is, the amount of resources acquired by a parent. Both the male and female founder

- 123 contribute to the production of eggs equally. The available resources for egg production
- of a *t*-year-old colony is R_t . In the first year (0-year-old colony), the parents produce
- eggs by using the available resources R_0 (J) (= 2ρ) (Fig. 2B). The number of first brood

126 eggs F_0 is given by

127
$$F_0 = \frac{\alpha R_0}{r} = \frac{2\alpha \rho}{r}$$

where α is the metabolic efficiency of the parents to convert the resources into eggs, r is the cost for producing one egg. For simplicity, we set $\alpha/r = 1$, i.e., $F_0 = 2\rho$. The final family composition of the 0-year-old colony is: a founding male, a founding female and first brood (F_0 eggs).

Second year (1-year-old colony): The 1st brood develop into 1-year old larvae, which are too small and undeveloped to contribute to social labor. In the second year, the available resources R_1 (J) are still 2ρ . Parents produce F_0 eggs of the 2nd brood in the second year. Therefore, the final family composition of the 1-year-old colony is: a founding male, a founding female, first brood (F_0 1-year-old larva) and 2nd brood (F_0 eggs).

In the third year, the 2nd brood are 1-year-old, which do not contribute to social labor.
The 1st brood are 2-years-old, at which time they begin to contribute to social labor as
helpers.

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142 **Work performance of helpers.** Work performance P_i (J/year) of a helper offspring 143 increases with age i. Eggs (0-year-old) and 1-year-old larva do not contribute to social 144 labor. Offspring older than 5 years achieve the maximum performance $\beta \cdot \rho$ in their lifetime, where β is the relative work efficiency of helpers compared to the work 145 performance of a parent ρ (Figs. S3 and S4). If β is 1, mature helpers (offspring older 146 than 5 years) have the same work performance as a parent. The 2-4 year old offspring 147 148 have intermediate performance. Hence, the work performance P_i of a helper at age i (year) is given by 149

150
$$P_{i} = \begin{cases} 0 & (i = 0) \\ \frac{\beta \rho (i - 1)}{4} & (1 \le i \le 5) \\ \beta \rho & (i > 5) \end{cases}$$

151 Total acquired resources R_t (J) are

- 152 $R_t = 2\rho + \sum H_i \cdot P_i ,$
- 153 where H_i is the number of *i*-year-old helpers.

154

- 155 **Reproductive capacity and genomic imprinting.** Relationship between the amount of
- resources R_t and the number of eggs F_t produced in year t is given by

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$$F_t = \begin{cases} \frac{\alpha R_t}{r}, & \frac{\alpha R_t}{r} < C_t \\ C_{t,} & \frac{\alpha R_t}{r} \ge C_t \end{cases}$$

- where C_t is the reproductive capacity of the parents at colony age t (Fig. 3A).
- 159 Reproductive capacity of the parents C_t increases with their sexual development.
- 160 Reproductive capacity of the parents C_t is given by
- 161 $C_t = K_G \cdot \tanh(t+1)$,
- where K_G is the maximum fecundity of the parents (Fig. 3A).
- 163 The maximum reproductive capacity K_G is determined by sexual development of the
- 164 parents, which is acquired through canalization of the expression of sexual development
- 165 genes through epigenetic modification (epimark level) E_t (Fig. 3*B*).

166
$$E_t = \frac{dC_t}{dt} = \frac{4K_G}{\left\{e^{t+1} + e^{-(t+1)}\right\}^2}$$

- 167 Epigenetic marks are partially inherited by offspring, which leads to a genomic imprinting 168 effect on the sexual development of the offspring. Therefore, imprinting level I_t at colony 169 age *t* is given by
- 170 $I_t = \varepsilon E_t$.
- where ε is the transmission rate of parental epimarks to offspring (Fig. 3*B*).
- Antagonistic action of paternal imprinting I_m and maternal imprinting I_f delay the initiation of sexual development of offspring, resulting in prolongation of the offspring's time to
- become alates τ (Fig. 3*C*). For simplicity, we assume

$$175 \quad I_m = I_f = I_t$$

- 176
- 177 **Genomic imprinting and maturation delay of offspring.** The time τ required to become 178 alates, numerically calculated from I_t and its boundary conditions, is given by

179
$$\tau_t = \begin{cases} \tau_{min} & (I_t \le \tau_{min}) \\ I_t & (\tau_{min} < I_t) \end{cases}.$$

180 The offspring that have spent τ_t after hatching in year *t* become alates, contributing to the 181 founders' fitness (Fig. 2*A*). We set $\tau_{min} = 4$ (years) based on the subsocial sister group *Cryptocercus* woodroaches, whose maturity takes about 6 years (Cleveland et al., 1934; Nalepa, 1984). Note that when an offspring stays longer in the colony as a helper, its direct contribution to the yearly fitness is not only delayed, but also its residual life span as a colony founder is shortened. However, its contribution as a helper will increase the production of future offspring (younger brothers and sisters) in the current colony (Fig. 2*B*). This trade-off between the contribution by staying as helpers and leaving success as alates is key for the evolution of eusociality.

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190 **Colony fitness and selection process.** Fitness gain $\omega_{G,t}$ of the colony at *t* is the sum of 191 the reproductive values of dispersing alates with different ages *i*, such that

192 $\omega_{G,t} = \sum A_{i,t} \cdot q_{G,i}$,

where $A_{i,t}$ is the number of alates at age *i* produced in year *t* and $q_{G,i}$ is the reproductive value of an alate at age *i*. In exchange for a prolonged helper period, the reproductive value of an alate $q_{G,i}$ declines with the shortening of its residual life span ($\Phi - i$) after colony foundation. This discounted reproductive value of an alate at age *i* is numerically calculated from the fitness function $\omega_{G-1,t}$ of the previous generation G - 1, such that

198
$$q_{G,i} = \frac{\sum_{t=0}^{\Phi-i} \omega_{G-1,t}}{\sum_{t=0}^{\Phi-\tau} \min \omega_{G-1,t}}$$
.

199 In order to calculate the fitness of the first generation $\omega_{1,t}$, we set $q_{1,i} = 1$ because there 200 is no imprinting effects on offspring (all offspring reaching age τ_{min} become alates without 201 delay). Total fitness of generation *G* is given by

$$202 \qquad W_G = \sum_{t=0}^T \omega_{G,t} ,$$

203 where
$$T = \Phi - \tau$$
.

204 When the resources exceed the maximum reproductive capacity of the parents K_G , 205 there is no benefit to the colony since they cannot be used to produce additional eggs. 206 The maximum amount of excess resources ΔR due to the limitation of reproductive 207 capacity K_G is given by

$$\Delta R = R_{G,max} - \frac{rK_G}{\alpha},$$

where $R_{G,max}$ is the maximum yearly resources of a colony at generation *G*. Mutation from *K* to *K* + 1 takes place if $\Delta R \ge \frac{r}{\alpha}$ (at least one egg can be produced by the surplus resource) (Fig. 2*C*, Figs. S5 and S6). Then selection should fix this mutation if $W_G \ge W_{G-1}$ (fitness can be increased by mutation). Higher reproductive capacity results from

213 increased epigenetic modification (i.e., stronger canalization (Rice et al., 2016)) of sexual 214 development genes, which results in a higher imprinting level in offspring. Greater 215 imprinting further prolongs the helper period resulting in in increased resources in the next 216 generation G + 1, which again produces surplus resources ΔR . This whole process may be repeated to increase reproductive capacity K_G as long as the two above-mentioned 217 218 conditions are satisfied (Figs. S5 and S6). We consider that eusociality arises at the time 219 when the first-brood offspring lose all direct fitness. We also note the time at which the 220 first-brood helpers spend their whole life in the colony, i.e., the appearance of lifelong 221 helpers.

222

223 Results

We show that genomic imprinting can explain the origin of eusociality, i.e., the first 224 225 occurrence of a lifelong neuter caste. To consider the evolutionary transition from 226 subsocial to eusocial in the ancestor of termites, we suppose a diploid subsocial 227 organism in which a male and a female cooperatively found a new colony in an enclosed habitat (Figs. 1F, 1G and 2). We developed a genomic imprinting model that predicts the 228 229 evolution of eusociality via natural selection when parental reproductive capacity is 230 linked to a delay in the sexual development of offspring through transgenerational 231 epigenetic marks that act in a sex-antagonistic manner. We performed evolutionary 232 simulations by running colony generation, where each generation includes a colony life 233 cycle as a part of the simulation (Fig. 2, Fig. S6). Presence of helpers contribute to social 234 labor, which increases the resources available for egg production (Fig. 2B). Selection 235 favors higher reproductive capacity of the parents so as to fully utilize the available resources (Fig. 2C). Acquisition of greater reproductive potential is derived from higher 236 epigenetic modification (canalization) of the genes for sexual development (Fig. 3 A and 237 238 B). This leads to higher genomic imprinting and thus to the prolonged helper period of 239 the offspring (Fig. 3C).

Our numerical algorithm demonstrates that genomic imprinting can drive eusociality via natural selection on colony founders (Fig. 4). The evolutionary transition from subsocial to eusocial systems readily occurs when the epimark transmission rate ε and/or the helpers' work performance β are high (Fig. 4*A*). Because helpers increase the resources available for egg production (Figs. S3 and S4), natural selection acts on the parents to increase

245 production of alates. Greater reproductive potential requires higher levels of epigenetic modification. Trans-generational carry-over of sex-specific epimarks leads to higher 246 247 genomic imprinting and thus to a prolonged helper period for offspring. This evolutionary feedback between natural selection and genomic imprinting facilitates the transition from 248 249 subsociality to eusociality (Fig. 4B). At some generation, the first-brood offspring lose their direct fitness (the origin of eusociality, red arrowheads in Fig. 4 B and C), and then spend 250 251 their entire life in the colony as helpers (open arrowheads in Fig. 4 B and C). Here the 252 offspring are essentially the extended phenotype of the parents via genomic imprinting. 253 This feedback process generating eusociality creates parent-offspring conflict 254 frequently because the first brood decreases its direct (and even inclusive) fitness by prolonged helper periods (zigzag black and red lines in Fig 4B), but eventually increases 255 its inclusive fitness. Eusociality can still be achieved even if the helpers' work 256 257 performance is reduced by one-half ($\beta = 0.8 \rightarrow 0.4$), although increase in the rate of parental direct fitness is slowed down (Fig. 4C). When the helpers' work performance is 258 259 further reduced ($\beta = 0.1$), natural selection does not drive eusociality (Fig. 4D), because 260 helpers cannot produce sufficient resources for increased egg production. Most importantly, the level of genomic imprinting is a key factor driving eusociality; the number 261 of generations required for eusociality (or lifelong helper) to evolve sharply decreases 262 263 with imprinting strength (i.e., epimark transmission rate ε for a given E_t) (Fig. 4E). 264 Eusociality cannot be achieved if imprinting strength is too low (gray area in Fig. 4*E*). 265 Also, the development of eusociality is impossible if colony longevity T is too short (Fig. 266 S7), because the contribution of the first brood helpers cannot be used for the production 267 of alates in the colony. It should be noted that when T is larger, it takes more time for 268 eusociality to evolve. This is because it takes more generations for the first brood to become lifelong helpers when they have a longer lifespan ($\Phi = T + \tau_{min}$). 269

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271 Discussion

272 The theoretical framework of the present model assumes iteroparity of the founder

273 parents within the nest. This assumption is reasonable because all eusocial insects are

- iteroparous, which is essential to produce staggered age classes within colonies,
- enabling older offspring to rear younger siblings. In contrast, the *Cryptocercus*
- woodroach (the sister group of termites) is semelparous (Nalepa, 1988) and not
- eusocial. Without iteroparity (no second nor later brood), the evolutionary feedback loop

cannot be established. Unlike the Hymenoptera where eusociality evolved multiple
times, eusociality evolved only once in the cockroaches (termites) around 150 Myr ago
(Bourguignon et al., 2015; Legendre et al., 2015). This single origin of eusociality in
Blattodea is likely due to the fact that the acquisition of within-nest iteroparity occurred
only once in this taxon, although non-nesting and serial nesting iteroparity are known in
some species (Trumbo, 2013).

284 The developmental time to reach maturity should have been long in the subsocial 285 termite ancestor due to a nitrogen-poor wood diet as in wood-feeding cockroaches in which developmental time ranges from three to seven years (Nalepa, 2015). Among 286 287 wood-feeding cockroaches, the sister-group of termites, Cryptocercus, is the only known oviparous cockroach with biparental care and altricial development (Bell et al., 2007; 288 Klass et al., 2008) under biparental care, crucial conditions for the origin of eusociality 289 (Nalepa, 2010). The prolonged altricial period of the offspring creates overlapping 290 291 broods within a colony providing the opportunity for older brood to help younger sibs 292 (Thorne, 1997). We can reasonably expect that in the termite ancestor the presence of 293 older brood was advantageous for the parents and younger sibs because they provided 294 nest excavation, trophallaxis, allogrooming, defense and other forms of brood care. 295 Therefore, we can expect high work performance β of the helpers in the subsocial ancestral state. In our model, a certain level of work performance β is necessary for the 296 297 origin of eusociality. Interestingly, however, β can be as low as 0.1 when other 298 conditions are favorable (e.g., $T \ge 15$, $\varepsilon \ge 0.2$, $F_0 \ge 20$, Fig. 4A).

299 As we discussed at the beginning, the evolutionary mechanisms driving the origin of 300 eusociality and selection for the maintenance and later elaboration of eusociality should be discussed separately. We demonstrated that the acquisition of eusociality promotes 301 302 the production of alates by a colony and also increases the inclusive fitness of the first 303 brood compared with the initial subsocial state (Fig. 4 B and C). In this respect, our 304 findings are consistent with inclusive fitness theory. Most importantly, however, we found 305 that inclusive fitness theory itself cannot explain the origin of eusociality. During the 306 transition from the subsocial to the eusocial state, inclusive fitness of the first brood 307 results in a zigzag line alternating up and down for levels of fitness (Fig. 4 B and C). 308 because there is a time lag between the origin of a prolonged helper period in the first 309 brood offspring and an increase in the reproductive capacity of the parents to utilize the 310 additional resources. This indicates that selection for higher inclusive fitness of the

offspring cannot get over the selection valley (it goes down and then up again) and thuscannot generate lifelong helpers.

The earlier hypothesis that tried to overcome this selection valley is parental 313 314 manipulation (Alexander, 1974): parents restrict the reproductive options of some offspring so that they assist in the production of fully fertile offspring. A serious problem 315 316 with this hypothesis is that counter-selection on the offspring would make them 317 overcome parental manipulation. Moreover, this hypothesis also cannot explain the 318 origin of eusociality, although parental manipulation may increase the parental fitness and the inclusive fitness of the sterile workers in a eusocial state. Selection cannot act 319 320 on the parents a priori in favor of restricting offspring's reproductive development in a subsocial state because it merely reduces the number of fertile offspring and thus their 321 322 own fitness unless it can be coupled with the subsequent evolution of the ability of the 323 parents to utilize the additional resources for reproduction. A related idea of parental 324 manipulation is the subfertility hypothesis of West-Eberhard (West-Eberhard, 1975), 325 which assumes that subfertile offspring can be produced by inescapable factors such as 326 food shortage and these subfertile offspring would give up reproduction and accept a 327 worker role.

Genomic imprinting can be considered one such inescapable factor that produces 328 329 subfertile offspring. In our genomic imprinting model, natural selection acts on the reproductive capacity of parents so as to increase their direct fitness. Greater 330 331 reproductive capacity requires higher epigenetic modification of the genes for sexual 332 development (Rice et al., 2016). Sex-specific epigenetic modifications are potential 333 mechanisms underlying sexual dimorphism in various taxa (Hall et al., 2014; Pennell and 334 Morrow, 2013). When sex-specific epimarks that canalize sexually dimorphic 335 development are inherited by the offspring (Rice et al., 2012), sex-antagonistic action 336 (Gadagkar, 2000) of the maternally and paternally inherited epimarks generates the delay of sex expression in the offspring, i.e., the first brood helpers. The offspring's 337 338 phenotype resulting from the transgenerational epigenetic inheritance is an extended 339 phenotype of the parents, and is thus inescapable for the offspring.

Ultimately, whether eusociality spreads in a population depends on the specific benefits of altruistic behavior of the sterile workers relative to their own independent reproduction (Hamilton, 1964). Right at and after the origin of eusociality, the fitness interests of the parents and the offspring coincide with each other (Fig. 4 *B* and *C*, Fig.

344 S7): the inclusive (i.e., indirect) fitness of the sterile helpers coincides with the direct fitness of the parents (i.e., colony fitness). From this point on, the subsequent evolution 345 of eusociality is promoted by kin selection, where Hamilton's rule r > c/b is satisfied. In 346 347 the current numerical analysis, relatedness r is 0.5 because we assume lifelong 348 monogamy of the parents (Boomsma, 2009), and the work performance of helpers β corresponds to the indirect benefit b, while the fitness loss produced by the prolonged 349 350 helper period τ is the cost c of helpers. Then kin selection (i.e., colony level selection) drives the evolution of extreme morphology and self-sacrificing behavior of soldiers 351 highly specialized in their defensive tasks (Deligne et al., 1981; Šobotník et al., 2012), 352 353 sophisticated pheromonal communication regulating caste differentiation (Matsumura et al., 1968; Matsuura et al., 2010, 2007; Mitaka et al., 2017), and loss of totipotency, all of 354 355 which accelerate the reproductive division of labor.

356 This genomic imprinting theory is based on the fact that genomic imprinting operates in caste determination of termites, where sexual development of the offspring is 357 358 influenced by the sexual phenotypes of parents via transgenerational epigenetic effects 359 (Matsuura, 2020b; Matsuura et al., 2018). Many molecular agents are known to mediate 360 genomic imprinting such as DNA methylation, histone modifications, noncoding RNAs 361 and transcription factors (Ferguson-Smith, 2011; Reik and Walter, 2001). Sex-specific methylation is a potential mechanism underlying sexual dimorphism in various taxa (Hall 362 et al., 2014; Pennell and Morrow, 2013), and a recent molecular study demonstrated that 363 364 DNA methylation regulates female fecundity in insects (Zhang et al., 2015). In termites, 365 the level of DNA methylation is known to be considerably higher than in any other social insect studied to date (Glastad et al., 2016). Future studies are needed to determine the 366 367 exact molecular mechanism underlying the genomic imprinting of termites, even though our conclusion holds irrespective of the exact agents. 368

The current theory to explain the origin of eusociality has the potential for broad applications to the origin of sterile workers in various diploid animals such as the ambrosia beetle *Austroplatypus incompertus* (Smith et al., 2018) and the naked mole-rat *Heterocephalus glaber* (Jarvis, 1981). It remains to be investigated in the future whether this theory can be extended to the origin of eusocial Hymenoptera, in which the existence and the role of genomic imprinting in the current caste system are still controversial. This study shows that transgenerational epigenetic inheritance can play a

key role in the inception of eusociality and provides a novel framework for studying theevolution of social systems in various organisms.

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379 **Data Availability**.

- 380 Major simulation data supporting the findings of this study are available within the paper
- and Supplementary Information. Simulation data can be generated within the custom-
- made code and the parameter sets provided. Custom-made simulation code is available
- via GitHub at (https://github.com/ItoHiromu/Eusoc-Sim).
- 384

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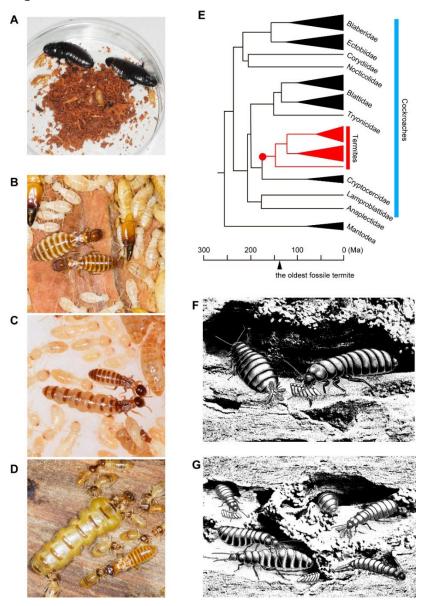
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- 516

517 Figures



518

519 **Figure 1. Termite eusociality originated from a lineage of subsocial woodroach.**

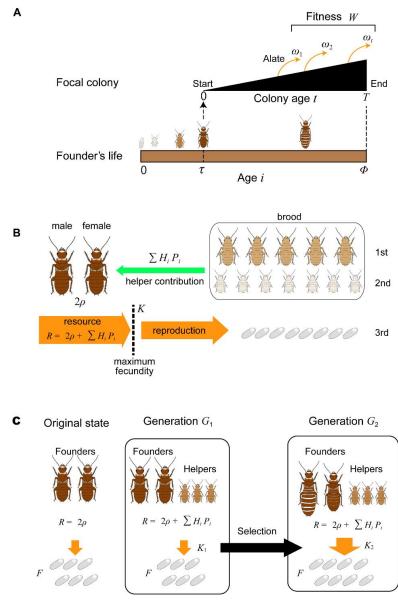
520 (A) Monogamy in a woodroach *Cryptocercus punctulatus*, which is an oviparous

521 cockroach with biparental care. (*B-D*) A primary king (PK) and a primary queen (PQ) of a 522 damp-wood termite *Zootermopsis nevadensis*, a subterranean termite *Reticulitermes*

522 damp-wood termite *Zootermopsis nevadensis*, a subterranean termite *Reticuliterm* 523 speratus and a higher termite *Nasutitermes takasagoensis*, respectively. (*E*)

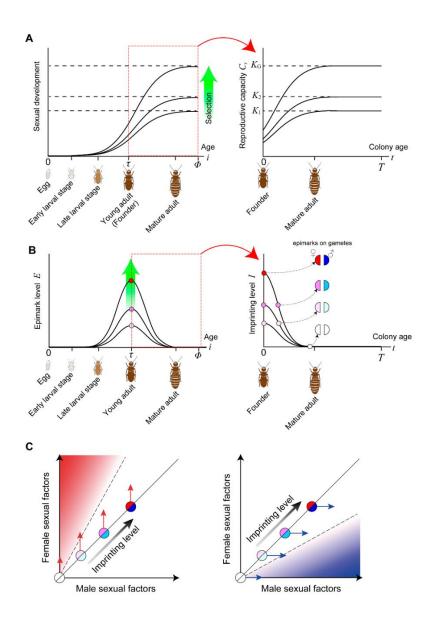
524 Phylogenetic placement of termites. Termites are a sister group of Cryptocercidae. (*F*,

- 525 G) Imaginary illustration of the incipient colony (*F*) and a developed family (*G*) of the first
- termite. The founder female produces a packaged egg mass as in the basal termite
- 527 *Mastotermes darwiniensis.* The first brood helpers contribute to the production of
- 528 younger sibs through wood excavation, trophallaxis, allogrooming, nest hygiene and so
- 529 on. Photos by K.M. Illustrations by H.O and K.M.
- 530



531

Figure 2. Schematic view of the model life cycle of a subsocial ancestor of 532 termites just before the origin of eusociality. (A) Colony life cycle. Individuals 533 become alates (imagoes) and leave their natal nest at age τ . They disperse and 534 535 establish new colonies by pairing with an unrelated individual. The colony produces alates ω_t at colony age t. Total number of alates produced W during the colony lifespan 536 $(\phi - \tau)$ is defined as the fitness of the focal colony. (B) Presence of older brood in the 537 nest contributes to resource acquisition of parents. (C), Additional resources can be a 538 selective force for the evolution of higher fecundity of founders. Without helpers, the 539 540 founders reproduce by using their own resources 2ρ (left). Even if there were additional resources from the helpers' contributions, the founders would not be able to use them for 541 542 reproduction due to the upper limit of their fecundity K_1 (center). Selection favors higher fecundity K_2 of the founders so as to fully utilize the additional resources for reproduction 543 (right). See also Figs. S5 and S6 for the detailed scheme. Illustrations by K.M. 544 545





547 Figure 3. The genomic imprinting model for the origin of eusociality. Sex-

antagonistic action of maternally- and paternally-inherited epimarks retains the offspring in the neuter state. (*A*) Sexual development of individuals (left) and reproductive capacity of founders C_t (right). (*B*) Development of epimarks in relation to sexual development of

the parents (left) and unerased sex-specific epimarks that carryover to the next

generation through gametes (right). Reproductive capacity of the parents C_t is acquired

through canalization of the expression of sexual development genes through epigenetic $\frac{dC_{t}}{dC_{t}}$

modification E_t . Therefore, E_t is expressed as the derivative of C_t , $E_t = \frac{dC_t}{dt}$. Blue and

red semicircles indicate paternally- and maternally-inherited epimarks, respectively.

556 Darkness of the color represents the strength of epimarks. (*C*) Antagonistic action of

557 maternal and paternal imprinting in the offspring. Illustrations by K.M.

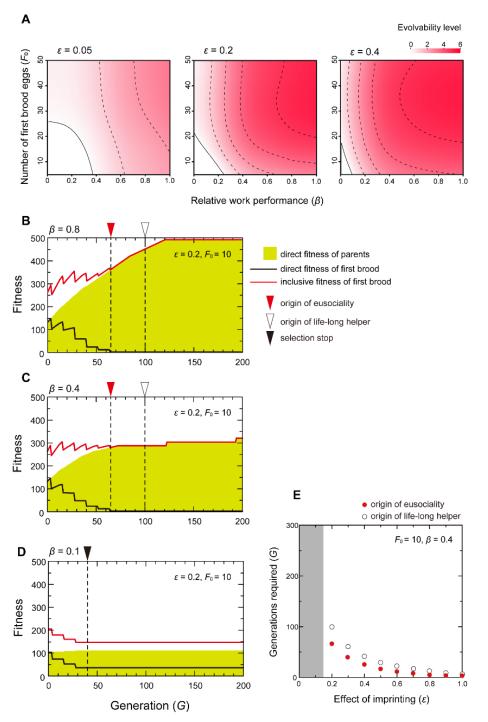




Figure 4. Evolvability of eusociality. (*A*) The effect of work performance of helpers β and initial fecundity of the parents F_0 on the evolvability of eusociality. Eusociality is easily achieved under high epimark transmission rate ε and/or high work performance of helpers β . Evolvability level is evaluated by the level of eusociality acquisition (indicated by the intensity of red color) when colony longevity *T* is varied from 10 to 15 years (Level 0: no acquisition; level 6: acquisition under all *T* cases). Eusociality acquisition is defined as the appearance of a helper with no direct fitness (inclusive fitness only). (*B-D*) Fitness

dynamics of the parents and the first brood offspring under different work performance 566 levels of helpers β (T = 13, $\varepsilon = 0.2$, $F_0 = 10$). Green area indicates the direct fitness of 567 parents (the number of alates produced by a colony). Black and red lines indicate the 568 direct and inclusive fitness of the first brood, respectively. Red arrowheads indicate the 569 570 origin of eusociality (the appearance of a helper with no direct fitness). Open arrowheads indicate the appearance of a lifelong helper. Black arrowheads indicate the point when 571 572 selection stops, i.e., the direct fitness of the parents decreases from that of the previous generation in numerical calculation. (E) Effect of genomic imprinting level I_t (i.e., ε for a 573 574 given E_t) on the generation required to reach eusociality. Red and open circles indicate 575 the origin of eusociality and the appearance of a lifelong helper, respectively. Gray area indicates the region where eusociality is not achieved. 576 577

578 Supplementary Information for

579 Genomic imprinting drives eusociality

580

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593 This PDF file includes:

- 594595Supplementary text
- 596 1. Transgenerational epigenetic inheritance; a paradigm shift in biology
- 597 2. Genomic imprinting as a carryover effect of parental epimarks
- 598 3. Asexual queen succession in termites
- 599 4. Genomic imprinting in termites
- 5. Additional model explanation: work performance of helpers
- 602 Figures S1 to S7
- 603 Tables S1 to S2
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609 Backgrounds

610 We here introduce the latest studies on the transgenerational epigenetic inheritance and genomic 611 imprinting in termites following the recent review by Matsuura (Matsuura, 2020).

612

1. Transgenerational epigenetic inheritance; a paradigm shift in biology

614 Evolution by natural selection requires phenotypic variation, inheritance and selection forces. 615 Charles Darwin conceived the theory of natural selection without knowing the agent of 616 inheritance. Biology is traditionally dominated by the idea of genetic determinism, which is 617 focused almost exclusively on genetic inheritance and processes that change gene frequencies. 618 Recent empirical studies have convincingly demonstrated transgenerational epigenetic 619 inheritance in various eukaryotic organisms including yeasts (Grewal and Klar, 1996), plants 620 (Hauser et al., 2011; Miryeganeh and Saze, 2020) nematodes (Remy, 2010; Serobyan and 621 Sommer, 2017), mammals (Daxinger and Whitelaw, 2012; Perez and Lehner, 2019) and insects 622 (Mukherjee and Vilcinskas, 2019). The transfer of epigenetic marks from parents to offspring can 623 influence offspring phenotype independent of the DNA sequence (Bonduriansky and Day, 2008). 624 The concept of epigenetic inheritance provides solutions for many previously-unsolved puzzles by 625 circumventing the limitation of genetic inheritance (Bonduriansky and Day, 2008; Jablonka and 626 Raz, 2009; Szyf, 2014). Theoretical studies indicate that epigenetic inheritance is an important 627 factor in evolution that can produce outcomes that are not anticipated under traditional genetics. 628 Therefore, it is apparent that biology is in a major transitional period that will take it forward from 629 the previously narrow perspective.

Over the past decade there has been a rapid accumulation of definitive evidence for the
molecular mechanisms underlying transgenerational epigenetic inheritance (Greer and Shi, 2012;
Liberman et al., 2019; Martin and Zhang, 2007; Miska and Ferguson-smith, 2016; Moazed, 2011).
In principle, any molecular change in the zygote other than alterations in DNA sequence could
carry non-genetic information including DNA methylation, histone modification, non-coding RNA,
prions and microbiota.

636

637 2. Genomic imprinting as a carryover effect of parental epimarks

The effects of transgenerational epigenetic inheritance on offspring are often sex-specific
(Bonduriansky and Day, 2008; Vigé et al., 2008). A phenomenon related to transgenerational
epigenetic inheritance is genomic imprinting, whereby epimark transmission depends on parental
sex, resulting in parent-of-origin allelic expressions (Gregg et al., 2010; Lawson et al., 2013; Xu et
al., 2014). Recent evidence also suggests that imprinting effects can depend on offspring sex
(Hager et al., 2008).

644 Kinship theory of genomic imprinting focuses on a conflict (Haig, 2014) between the maternal 645 and paternal genes (see also Holman & Kokko (Holman and Kokko, 2014) and Patten et al. 646 (Patten et al., 2014)). Genomic imprinting can occur as a by-product of another advantageous 647 process such as retrotransposon silencing (Suzuki et al., 2007) or canalization of sexually 648 dimorphic development (Rice et al., 2012) even if imprinting itself has no fitness advantage. The 649 most parsimonious mechanistic explanation for the origin of genomic imprinting would be 650 incomplete erasure of epigenetic modifications, i.e., carryover effects of parental epimarks 651 (Chong and Whitelaw, 2004; Kearns et al., 2000; Rice et al., 2016). Although epigenetic 652 modifications acquired by parents are mostly erased during gametogenesis, which allows 653 reestablishment of epigenetic marks in the next generation, a portion of epigenetic modifications 654 can be inherited through the germline in a wide variety of taxa including mammals (Anway et al.,

2005; Morgan and Bale, 2011), insects (Cavalli and Paro, 1998), yeast (Grewal and Klar, 1996)
and plants (Miryeganeh and Saze, 2020).

The degree of sexual dimorphism will be associated with the degree of sex-specific epigenetic modifications (Deegan and Engel, 2019). Selection favoring a higher degree of sexual dimorphism would lead to a higher imprinting level, if the efficiency of erasure is not changed. This carryover effect of sex-specific parental epimarks on the offspring's development can

- 661 contribute to the determination of the phenotype (Matsuura et al., 2018; Rice et al., 2013, 2012).
- 662

663 3. Asexual queen succession in termites

664 Transgenerational epigenetic inheritance and genomic imprinting have been attracting more and 665 more attention in the study of insects because many phenomena involving non-genetic 666 inheritance have been found in a number of insect species (Galbraith et al., 2016; Gegner et al., 2019; Matsuura, 2020; Mukherjee and Vilcinskas, 2019). In particular, the effects of parental 667 phenotypes on the caste fate of offspring have been discovered in termites, which provides 668 669 definitive evidences for non-genetic inheritance (Matsuura et al., 2018). A unique reproductive 670 system named Asexual Queen Succession (AQS) has been identified in several termite species. 671 in which workers, soldiers and alates are produced sexually while neotenic queens arise through 672 thelytokous parthenogenesis and eventually replace the old queens (Hellemans and Roisin, 673 2020; Matsuura, 2017; Matsuura et al., 2009) (Fig. S1). Then, neotenic gueens are replaced by 674 subsequent cohorts of asexually-produced neotenic queens. Therefore, as long as the colonies 675 survive, the gueens are genetically immortal. This is advantageous for both the gueens and other 676 colony members because queens can boost reproduction without inbreeding.

677 After the first report of AQS in the Japanese subterranean termite R. speratus (Matsuura et 678 al., 2009), AQS has been continuously found in other *Reticulitermes* species in other continents: 679 R. virginicus in the US (Vargo et al., 2012) and R. lucifugus in Italy (Luchetti et al., 2013). Time-680 scaled phylogeny of the genus Reticulitermes demonstrated that AQS was absent in the basal 681 lineage but has evolved at least three times independently, in East Asia (ca. 7-5 million years 682 ago), in West Europe (ca. 10-5 million years ago) and in North America (less than 14.1 million 683 years ago) (Dedeine et al., 2016). Recent surveys of the breeding systems of higher termites 684 (Termitidae) in French Guiana have repeatedly identified AQS in Neotropical termitids including 685 Embiratermes neotenicus (Syntermitinae) (Fougeyrollas et al., 2015), the humivorous termite 686 Cavitermes tuberosus (Termitinae) (Fournier et al., 2016), Silvestritermes minutus (Syntermitinae) (Fougeyrollas et al., 2017) and Palmitermes impostor (Termitinae) (Hellemans et 687 688 al., 2019). In all of these seven AQS species, the asexual neotenic queens derive from nymphs, 689 i.e., the sexual pathway.

690 Why has AQS evolved repeatedly in phylogenetically distant lineages? The origin of AQS 691 requires the simultaneous evolution of two distinct traits; parthenogenetic capacity and the 692 developmental priority for parthenogenetic daughters to develop into secondary queens. Then a 693 question emerges as to why parthenogenetic daughters and sexually-produced daughters differ 694 in their developmental propensity. Nozaki et al. (2018) asked if in a non-AQS species, R. 695 okinawanus, the female offspring produced by tychoparthenogenesis (i.e., occasional 696 parthenogenesis) differentiate into secondary queens (Nozaki et al., 2018). Interestingly a 697 significantly higher proportion of parthenogenetic daughters developed into neotenic queens 698 (nymphoid queens) than sexually produced females (Nozaki et al., 2018). This suggest that the 699 developmental propensity of parthenogenetic daughters to become neotenic queens existed prior 700 to the origin of AQS, which could explain why AQS evolved repeatedly in phylogenetically distant 701 lineages.

703 **4. Genomic imprinting in termites**

704 Influence of parental phenotypes on the caste fate of offspring is known in the genus 705 Reticulitermes (Hayashi et al., 2007; Kitade et al., 2010). For instance, the daughters produced 706 by gueens' parthenogenesis and the daughters produced by the mating of nymph-derived gueens 707 and worker-derived males develop exclusively into nymphs. On the other hand, most of the 708 daughters produced by the mating of worker-derived queens and nymph-derived males develop 709 into workers. The theory of genomic imprinting explains the effects of parental phenotypes on 710 caste fate of the offspring(Matsuura et al., 2018). Its prediction matches exactly with empirical 711 data from both lab and field studies.

712 As shown in the scheme (Fig. S2), the theory of genomic imprinting consists of two stages: 1) development of phenotype-specific parental epimarks and 2) influence of parental imprinting on 713 714 the development of offspring. Nymph-derived reproductives obtain higher levels of epimarks so 715 as to canalize expression of sexual characters than ergatoids (worker-derived reproductives) (Fig. 716 S2A). Then the maternally- and paternally-inherited epimarks influence the relative expression of 717 growth regulatory genes (ε_{g} : growth factors) to sex regulatory genes (ε_{g} : sexual factors), and thus 718 determine the caste fate of offspring (Fig. S2B). Growth with sexual development directs 719 individuals to the sexual pathway (nymphs), while growth without sexual development restricts 720 individuals to the neuter caste (workers). The double maternal imprinting of parthenogenetic 721 daughters leads them to the sexual pathway in AQS species.

The predictions of genomic imprinting model match well both with the caste differentiation patterns of the AQS species *R. speratus* (Hayashi et al., 2007) (Fig. S2*B*) and those of the non-AQS species *R. kanmonensis*, *R. yaeyamanus* and *R. okinawanus* (Kitade et al., 2010). Genomic imprinting clearly explains why the daughters carrying only maternal chromosomes have the developmental propensity to become neotenic queens rather than daughters carrying both paternal and maternal chromosomes.

728 Genomic imprinting explains why parthenogens carrying only maternal chromosomes pre-729 adaptively have the epigenetic and thus developmental advantage to become neotenic queens 730 (Matsuura et al., 2018; Nozaki et al., 2018). Many factors are known to mediate genomic 731 imprinting such as DNA methylation, histone modifications, noncoding RNAs and transcription 732 factors (Ferguson-Smith, 2011; Reik and Walter, 2001). The DNA methylation levels in termites 733 are considerably higher than other hemimetabolous insects (Harrison et al., 2018). Moreover, 734 termites shows caste- and sex-specific DNA methylation patterns (Glastad et al., 2016). The DNA 735 methyltransferases DNMT1 and DNMT3 are known to be involved in maintenance of and 736 mediating de novo DNA methylation, respectively (Goll and Bestor, 2005; Yan et al., 2015). RNA-737 seq analysis of R. speratus revealed sex- and caste-dependent expression patterns of the DNA 738 methyltransferases, where alates have higher expression of *Dnmt1* than workers in females but 739 not in males. Alates also showed significantly higher expression of Dnmt3 than workers in males 740 but not in female (Mitaka et al., 2020). These results seem to support the theory of genomic 741 imprinting.

742

743 5. Additional model explanation

Work performance of helpers. Within-nest iteroparity creates the overlapping broods within a colony, which provides the opportunity for older brood to contribute to the production and growth of younger sibs (Thorne, 1997). The presence of older brood is advantageous for the parents and younger sibs rather than imposing a deleterious effect because they provide nest excavation, trophallaxis, allogrooming, defense and other forms of brood care. Therefore, we can reasonably expect a high work performance β of the helpers in the subsocial ancestral state.

750 Work performance P_i (J/year) of a helper offspring increases with age *i*. Eggs (0-year-old) and 751 1-year-old larvae cannot contribute to social labor. Offspring older than 5-years achieve their

maximum possible performance $\beta \cdot \rho$, where β is the relative work efficiency of helpers compared to the work performance of a parent ρ . If β is 1, mature helpers have the same work performance as a parent. 2-4 year old offspring have intermediate performance. Thus the helper performance P_i of a helper at age *i* (year) is given by (Fig. S3)

757
$$P_{i} = \begin{cases} 0 & (i = 0) \\ \frac{\beta \rho(i-1)}{4} & (1 \le i \le 5) \\ \beta \rho & (i > 5) \end{cases}$$
(S1)

758

759

We also investigated the effect of the curvatures *s* of age-dependent increase in work performance P_i on the origin of eusociality (Fig. S4),

762

763
$$P_{i} = \begin{cases} 0 & (i = 0, 1) \\ \frac{\beta \cdot \rho}{4} (1 - s) & (i = 2) \\ \frac{\beta \cdot \rho}{2} & (i = 3) \\ \frac{\beta \cdot \rho}{4} (3 + s) & (i = 4) \\ \beta \cdot \rho & (5 \le i) \end{cases}$$
(S2)

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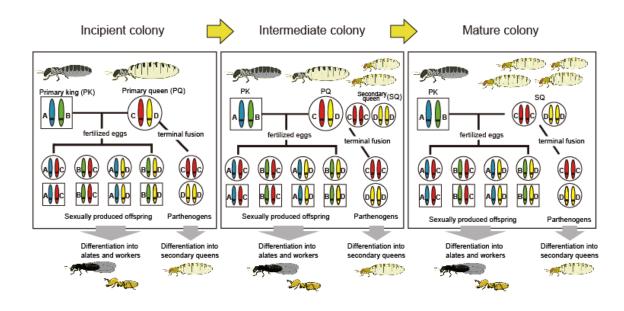
There is no qualitative change in the outcome when the curvatures *s* varies from 0 to 1 (the results were omitted).

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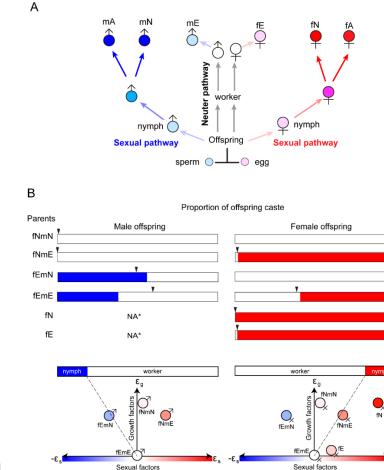
774 Fig. S1. Asexual queen succession in termites. Secondary queens produced asexually by the

primary queen differentiate within the colony and supplement egg production, eventually,

replacing the primary queen (Matsuura, 2017; Matsuura et al., 2009). This breeding system

enables the primary queen to maintain her full genetic contribution to the next generation, while

avoiding any loss in genetic diversity from inbreeding.



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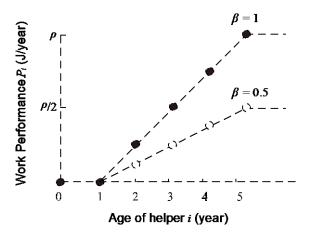
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783 Fig. S2. Genomic imprinting and caste determination in termites. (A) Caste differentiation 784 and establishment of sex-specific epimarks. Alates (male: mA; female: fA) and nymphoids (male: 785 mN; female: fN) develop with the full canalization of sexual development, while ergatoids (male: 786 mE; female: fE) develop by a single sexual molt. Blue and red arrows indicate the development of 787 male- and female-specific epimarks, respectively, and darkness of the color represents the 788 strength of epimarks. (B) Combination of parental phenotypes and outcome of offspring caste (e.g., fEmN: female ergatoid and male nymphoid). The caste differentiation patterns predicted by 789 790 the genomic imprinting model (bar graphs) and the empirical results (arrowheads) of R. speratus 791 (Hayashi et al., 2007). *Parthenogenesis produces only female offspring. Expression levels of 792 growth regulatory genes (ϵ_g) and sexual regulatory genes (ϵ_s) of the male- and female-offspring. 793 Modified from Matsuura et al. (Matsuura et al., 2018).

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Fig. S3. Relationship between age and work performance of helpers. Work performance *P_i*

800 (J/year) of a helper increases with age *i* (year), where 0-year-old and 1-year-old helpers do not

801 contribute to social labor. Offspring older than 5 years achieve their maximum possible

802 performance $\beta \cdot \rho$, where β is the relative work efficiency of helpers to the work performance of a

parent ρ . If β is 1, mature helpers (offspring older than 5 years) have the same work performance

as a parent (closed circles). The 2-4 year old offspring have intermediate performance levels.

Hence, the work performance P_i of a helper at age *i* (year) is given by Equation (S1).



Fig. S4. Relationship between age and work performance of helpers. The work performance P_i of a helper at age *i* (year) is given by Equation (S2).

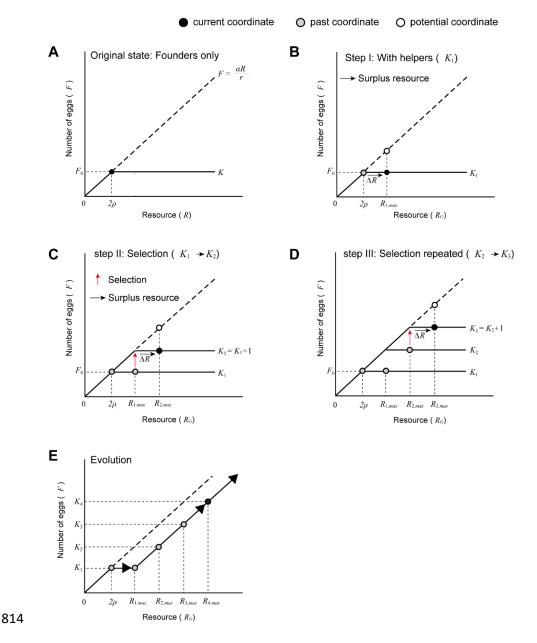
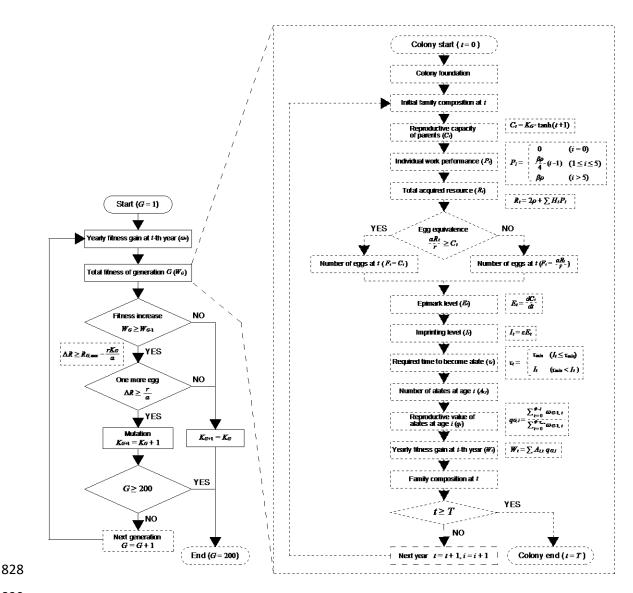
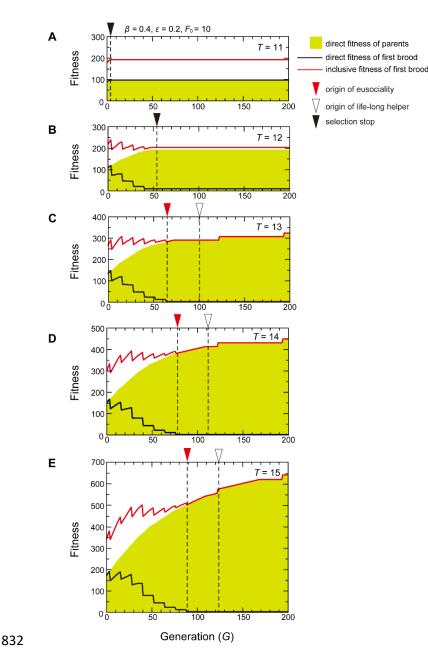


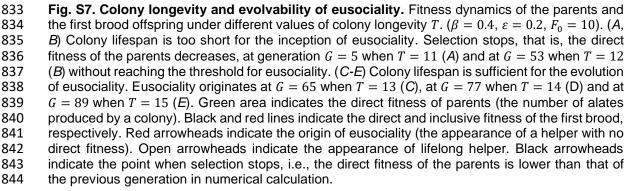
Fig. S5. Selection scheme. (A) Original state. Without helpers, the founders reproduce by using 815 816 their own resources 2ρ . A monogamous pair of a male and a female produce F_0 eggs using their own resources 2ρ . (B) Step I (generation G_1). Presence of helpers contribute to social labor, which 817 increases the resources available ΔR for egg production. Nevertheless, the parents can produce 818 819 only F_0 eggs because of limitations on maximum reproductive capacity K_1 . (C) Step II (generation G_2). Selection favors higher reproductive capacity of the parents so as to fully utilize the available 820 821 resources $(K_1 \rightarrow K_2)$. Acquisition of greater reproductive potential is derived from higher epigenetic 822 modification (canalization) of the genes for sexual development^{30,31}. This leads to higher genomic 823 imprinting and thus to the prolonged helper period of the offspring. Therefore, selection for higher 824 K moves the coordinate from $(R_{1,max}, K_1)$ to $(R_{2,max}, K_2)$. (D) Step III (generation G_3). In the same way as step II, selection favoring higher K to utilize the surplus resources moves the coordinate 825 from $(R_{2,max}, K_2)$ to $(R_{3,max}, K_3)$. (E) The evolutionary process. Trace of the evolution of 826 827 reproductive capacity starting from K_1 (= F_0).



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830 Fig. S6. Simulation flow. See Model for the detailed procedure.





Symbol	Definition
i	Age of offspring (years)
Φ	Longevity of individuals (years)
τ	Time from birth to dispersal (years)
t	Colony age (year), i.e., time after colony foundation
Т	Longevity of a colony, i.e., $\phi - \tau$ (years)
ω_t	Fitness gain of the colony at t
W	Total fitness of a colony
ρ	Work performance of an adult (a founding male or a founding female)
R_t	The available resources for egg production of a <i>t</i> -year-old colony
α	Metabolic efficiency of the parents to convert the resources into eggs
r	Cost of producing one egg
F_t	The number of eggs produced in year t
P_i	Work performance (J/year), i.e., the total resources (J) acquired by a single helper at age <i>i</i> in one year
β	Relative work performance of a helper to that of a parent $ ho$
H_i	Number of <i>i</i> -year-old helpers
C_t	Reproductive capacity (eggs/year) of the parents of a t -year-old colony, that is, the maximum number of eggs produced in year t
K_G	The maximum reproductive capacity, i.e., reproductive capacity of fully-matured parents of generation G
E_t	Epimark level of the parents of a <i>t</i> -year-old colony, that is, the time derivative of C_t (Fig. 3 <i>B</i>)
З	Relative strength of epigenetic inheritance
I_t	Imprinting level of the offspring produced in year t
$A_{i,t}$	The number of <i>i</i> -year-old alates produced in year <i>t</i>
$q_{G,i}$	The reproductive value of the <i>i</i> -year-old alate

845 Table S1. The parameters of the genomic imprinting model

848	Table S2.	Parameter	combinations	in figures
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Figure	Simulation results	Varied Parameters	Fixed Parameters
Fig. 4 <i>A</i>	Evolvability of eusociality	$eta,F_0,T,arepsilon$	
Fig. 4 <i>B-D</i>	Fitness dynamics	β	F_0, ε, T
Fig. 4 <i>E</i>	Generations required for the origin of eusociality	Е	β, F_0, T
Fig. S7	Fitness dynamics	Т	$eta,F_0,arepsilon$

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A was not certified by peer review) is the author/funder, who has granted bioRxiv a license to display the available under aCC-BY 4.0 International license. Α Ectobiidae Corydiidae Nocticolidae Blattidae Cockroaches Tryonicidae Termites C_{ryptocercidae} В Lamproblattidae Anaplectidae Mantodea 300 200 100 0 (Ma) the oldest fossile termite F 10 A.M. С G D 100 ÷. i. 197 S. Com 24

