

1 **Diatom teratologies as biomarkers of contamination: are all deformities ecologically**
2 **meaningful?**

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46 to the work, are placed subsequently in alphabetical order.

48 ABSTRACT

49

50 Contaminant-related stress on aquatic biota is difficult to assess when lethal impacts are not observed.
51 Diatoms, by displaying deformities (teratologies) in their valves, have the potential to reflect sub-lethal
52 responses to environmental stressors such as metals and organic compounds. For this reason, there is
53 great interest in using diatom morphological aberrations in biomonitoring. However, the detection and
54 mostly the quantification of teratologies is still a challenge; not all studies have succeeded in showing a
55 relationship between the proportion of abnormal valves and contamination level along a gradient of
56 exposure. This limitation in part reflects the loss of ecological information from diatom teratologies
57 during analyses when all deformities are considered. The type of deformity, the severity of aberration,
58 species proneness to deformity formation, and propagation of deformities throughout the population are
59 key components and constraints in quantifying teratologies. Before a metric based on diatom deformities
60 can be used as an indicator of contamination, it is important to better understand the “ecological signal”
61 provided by this biomarker. Using the overall abundance of teratologies has proved to be an excellent
62 tool for identifying contaminated and non-contaminated environments (presence/absence), but refining
63 this biomonitoring approach may bring additional insights allowing for a better assessment of
64 contamination level along a gradient. The dilemma: are all teratologies significant, equal and/or
65 meaningful in assessing changing levels of contamination? This viewpoint article examines numerous
66 interrogatives relative to the use of diatom teratologies in water quality monitoring, provides selected
67 examples of differential responses to contamination, and proposes solutions that may refine our
68 understanding and quantification of the stress. This paper highlights the logistical problems associated
69 with accurately evaluating and interpreting teratologies and stimulates more discussion and research on
70 the subject to enhance the sensitivity of this metric in bioassessments.

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72 **Key words:** Bioassessment, biomarker, contaminants, deformities, diatoms, teratologies

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74 **Highlights:**

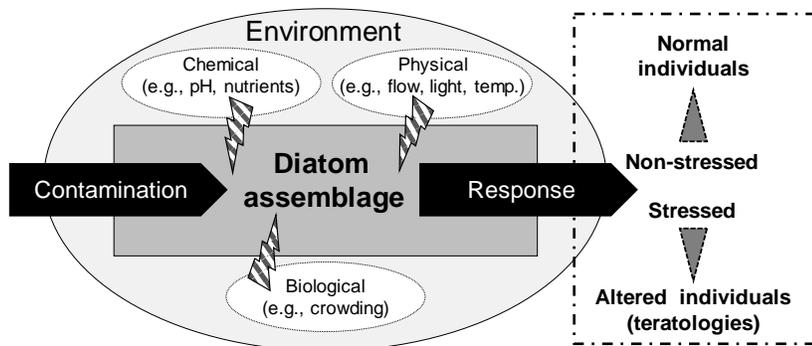
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- 76 • Diatom teratologies are valuable metrics to assess toxic contamination.
- 77 • Bioassessment could be improved by weighing deformities by their type and severity.
- 78 • Species proneness to deformities could be an interesting metric to consider.
- 79 • Abnormal valve shapes are multiplied during cell division; can this be ignored?

80

81 1. INTRODUCTION

82
83 Diatoms are useful tools in the bioassessment of freshwater ecosystem integrity and are presently
84 included in numerous water quality monitoring programs worldwide. A variety of diatom-based indices
85 have been developed using different approaches (e.g., Lavoie et al., 2006; 2014 and references therein;
86 Smol and Stoermer, 2010 and references therein). Most indices were created to assess ecosystem health
87 reflecting general water quality and regional climate. There are also countless studies reporting the
88 response of diatom assemblages to metal contamination (see review in Morin et al., 2012) and to organic
89 contaminants (Debenest et al., 2010). However, diatom-based indices have not been developed to
90 directly assess toxic contaminants (e.g., metals, pesticides, hydrocarbons). Contaminant-related stress on
91 biota is difficult to assess when lethal impacts are not observed. Diatoms, by displaying aberrations in
92 their valves (deviation from normal shape or ornamentation), have the potential to reflect sub-lethal
93 responses to environmental stressors including contaminants. Observed deformities can affect the
94 general shape of the valve, the sternum/raphe, the striation pattern, and other structures, or can be a
95 combination of various alterations (Falasco et al., 2009a). Other stressors such as excess light, nutrient
96 depletion, and low pH also have the potential to induce frustule deformities (Fig. 1; see review in
97 Falasco et al., 2009a). However, the presence of abnormal frustules (also called teratologies or
98 deformities) in highly contaminated environments is generally a response to toxic chemicals. For this
99 reason, there is great interest in using morphological aberrations in biomonitoring. Teratologies may be
100 a valuable tool to assess ecosystem health and it can be assumed that their frequency and severity are
101 related to magnitude of the stress. We focussed our main discussion on teratologies as biomarkers
102 although other descriptors such as valve densities, species diversity and assemblage structure are also
103 commonly used to evaluate the response of diatom assemblages to contaminants.
104



105
106 Fig. 1. Conceptual model representing the response of a diatom assemblage to environmental and
107 anthropogenic perturbations.

108
109 Based on the current literature, the presence of deformities in contaminated environments is considered
110 an indication of stress; however, detection and quantification of teratologies is still a challenge. In other
111 words, not all studies have succeeded in showing a relationship between the proportion of abnormal
112 valves and contamination level along a gradient of exposure (see sections 3.2 and 5.1 for examples).
113 Before a metric based on diatom teratologies can be used as an indicator of contamination, we believe it
114 is imperative to better understand the “ecological information” provided by the different types of
115 deformities and their severity. Furthermore, how are teratologies passed through generations of cell
116 division? These aspects may influence our assessment and interpretation of water quality.
117

118 This paper will not provide a detailed review of the abundant literature on the subject of diatom valve
119 morphogenesis or the different types of teratologies and their causes, but will examine numerous

120 interrogatives relative to the use of diatom teratologies for the assessment of various types of
121 contamination. This work is an extension of the discussion issued from the collaborative poster entitled
122 “*Diatom teratologies in bioassessment and the need for understanding their significance: are all*
123 *deformities equal?*” presented at the 24th International Diatom Symposium held in Quebec City (August
124 2016). The participants were invited to take part in the project by adding comments, questions and
125 information directly on the poster board, and by collaborating on the writing of the present paper.
126 Numerous questions were presented (Table 1) related to the indicator potential of different types of
127 deformities and their severity, the transmission of teratologies as cells divide, and species proneness to
128 deformities. These questions, we believe, are of interest when using diatom teratologies as biomarkers of
129 stress. This topic is especially of concern because diatom teratologies are increasingly used in
130 biomonitoring as shown by the rising number of publications on diatom malformations (Fig. 2). With
131 this paper, we aim to initiate a discussion on the subject. Hopefully, this discussion will create new
132 avenues for using teratologies as biomarkers of stress and contamination. The ultimate goal would be the
133 creation of an index including additional biological descriptors to complement the teratology-based
134 metric.

135

136 Table 1. List of questions that initiated this communication as well as questions raised by participants
137 during the 24th International Diatom Symposium (IDS 2016, Quebec City).

TERATOLOGY FORMATION AND TRANSMISSION

- A) How are deformities transmitted to the subsequent generations?
- B) The newly-formed valve is an exact copy (or smaller) of the mother cell; in this case, how does the first deformity of the valve outline appear?
- C) Are abnormal ornamentation patterns observed on both valves?
- D) Are deformed cells able to survive and reproduce?

ECOLOGICAL MEANING

- E) Are deformities equal between different species? Are all types of deformities equal within the same species?
- F) Are all toxicants likely to induce similar deformities? (or are deformities toxicant-specific?)
- G) Should a deformity observed on a “tolerant” species (versus a “sensitive” species) have more weight as an indicator of stress?

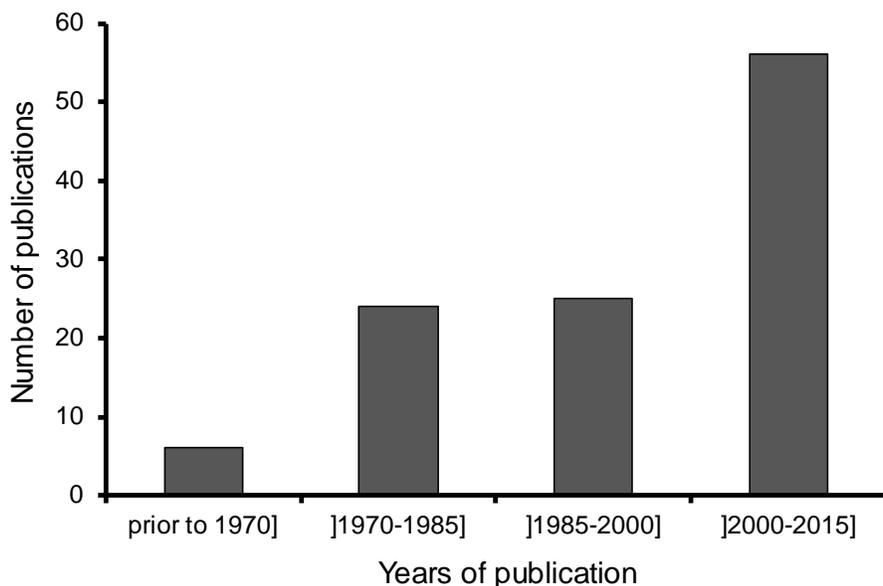
ISSUES WITH TERATOLOGY ASSESSMENT

- H) Certain types of deformities are difficult or impossible to see under a light microscope, particularly for small species. Should problematic taxa be included in bioassessments based on teratologies?
- I) How to assess deformities on specimen that are in girdle view?
- J) How should the “severity” of a teratology be assessed?

IMPLICATIONS FOR BIOMONITORING

- K) The sternum is the initial structure to be formed; should an abnormal sternum (including the raphe) be considered more important/significant than other types of aberrations?
 - L) Proneness to produce abnormal valves and sensitivity to specific contaminants are key factors for the inclusion of teratological forms in diatom indices. How to quantify them?
 - M) What is the significance of deformities in a single species versus multiple species in an assemblage?
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142 Fig. 2. Number of papers on the topic of diatom teratologies in freshwater environments (natural and
143 laboratory conditions) published from 1890 to 2015. Database provided in Supplementary Material.

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145 2. TERATOLOGY FORMATION AND TRANSMISSION

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147 2.1. Valve formation

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149 Current routine identifications of diatom species are based on morphological characters such as
150 symmetry, shape, stria density, and ornamentation. The characteristic shape of each diatom species
151 results from a combination of genetic and cellular based processes that are regulated by environmental
152 factors. There is a wealth of literature on valve morphogenesis, based both on ultrastructure observations
153 and cellular (molecular and biochemical) processes. Descriptions of the processes involved in valve
154 formation are provided, among others, by the following authors: Cox (2012); Cox et al. (2012); Falasco
155 et al. (2009a); Gordon et al. (2009); Knight et al. (2016); Kröger et al. (1994, 1996, 1997); Pickett-Heaps
156 et al. (1979); Round et al. (1990); Sato et al. (2011) and Schmid and Schulz (1979). Although a detailed
157 description of cellular processes involved in valve formation is far beyond the scope of this discussion,
158 the following section briefly summarizes the information given in the above-mentioned publications.

159

160 Diatoms have external cell walls (frustule) composed of two valves made of amorphous polymerized
161 silica. They mainly reproduce asexually during the life cycle with short periods of sexual activity.
162 During cell division (mitosis), a new hypotheca (internal valve) is formed after cytokinesis. Silica
163 polymerization occurs in a membrane-bound vesicle (silica deposition vesicle; SDV) within the
164 protoplast (Knight et al., 2016). In pennate species, a microtubule center is associated with initiation of
165 the SDV (Pickett-Heaps et al., 1979; 1990). The sternum (with or without a raphe) is the first structure to
166 be formed followed by a perpendicular development of virgae (striae). In raphid diatoms the primary
167 side of the sternum develops, then curves and fuses with the later-formed secondary side; the point of
168 fusion generally appears as an irregular stria called the Voigt discontinuity or Voigt fault (Mann, 1981).

169 Sketches and pictures of valve morphogenesis are presented in Cox (2012), Cox et al. (2012) and in Sato
170 et al. (2011). The size of the new hypotheca formed by each daughter cell is constrained by the size of
171 the parent valves, resulting in a gradual size reduction over time. Sexual reproduction initiates the
172 formation of auxospores which can ultimately regenerate into large initial frustules (see Sato et al. 2008
173 for information on auxosporulation). Asexual spore formation (Drebes 1966; Gallagher 1983) may also
174 lead to large initial frustules and a larger population. Auxospore initial cells may differ greatly in
175 morphology compared to cells from later in the cell line and these differences in cell shape should not be
176 confused with deformity. These initial cells are however rather rare.

177

178 2.2. Overview of teratogenesis

179

180 Deformities are commonly observed in natural diatom assemblages, but their frequency of occurrence is
181 generally low (<0.5% according to Arini et al. 2012 and Morin et al. 2008a). The presence of multiple
182 stressors, however, can significantly increase the proportions of deformed individuals. Falasco et al.
183 (2009a) reviewed different types of deformities observed on diatom valves and the various potential
184 mechanisms involved, as well as numerous environmental factors known to be responsible for such
185 aberrations. We are aware that various stresses may induce teratologies, but here we focus our
186 observations and discussion on the effects of toxic contaminants such as metals and organic compounds.

187

188 Based on the current literature, mechanisms inducing teratologies are not fully understood. Due to
189 physical (e.g., crowding, grazing) or chemical stresses (e.g., metals, pesticides, nutrient depletion),
190 cellular processes involved in cell division and valve formation may be altered (Barber and Carter, 1981;
191 Cox, 1890). One reliable explanation for teratology formation involves the microtubular system, an
192 active part in the movement of silica towards the SDV. Exposure to anti-microtubule drugs (Schmid
193 1980) or a pesticide (Debenest et al. 2008), can affect the diatom microtubular system (including
194 microfilaments), leading to abnormal nucleus formation during cell division and to the deformation of
195 the new valve. Licursi and Gómez (2013) observed a significant increase in the production of abnormal
196 nuclei (dislocation and membrane breakage) in mature biofilms exposed to hexavalent chromium. No
197 teratological forms were observed, but the biofilm was exposed to the contaminant only for a short
198 duration (96 h).

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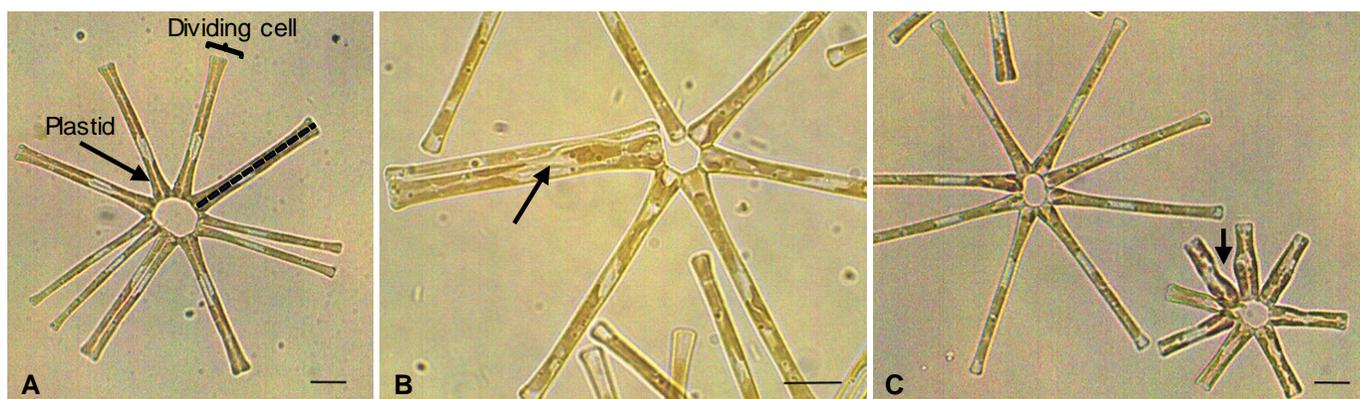
200 Malformations can also be induced by other independent factors. For instance, malfunctions of proteins
201 involved in silica transport and deposition (Knight et al., 2016; Kröger et al., 1994, 1996, 1997; Kröger
202 and Poulsen, 2008), or proteins responsible for maintenance, structural and mechanical integrity of the
203 valve (Kröger and Poulsen, 2008; Santos et al., 2013) would have significant impacts on teratologies.
204 Metals could also inhibit silica uptake due to metal ion binding on the cell membrane (Falasco et al.,
205 2009a). Likewise, the initial formation of the valve can be affected by a lack of transverse perizonial
206 bands on the initial cell (Chepurnov et al., 2004; Mann, 1982, 1986; Sabbe et al., 2004; Sato et al., 2008;
207 Toyoda et al., 2005; von Stosch, 1982; Williams 2001). Finally, biologically-induced damage related to
208 bottom-up and top-down processes (e.g., parasitism, grazing, crowding) represent natural stresses that
209 may result in abnormal valves (Barber and Carter, 1981; Huber-Pestalozzi, 1946; Stoermer and
210 Andresen, 2006).

211

212 Deformities can also be the consequence of plastid abnormalities or mis-positioning during cell division,
213 as observed in standard laboratory cultures of *Asterionella formosa* Hassall (Kojadinovic-Sirinelli,
214 Bioénergétique et Ingénierie des Protéines Laboratory UMR7281 AMU-CNRS, France; unpublished
215 results) and under metal exposure in *Tabellaria flocculosa* (Roth) Kütz. (Kahlert, Swedish University of

216 Agricultural Sciences; unpublished results). When considering normal cellular morphotypes of *A.*
217 *formosa*, plastids are symmetrically positioned within dividing cell (Fig. 3A). In some cases, the plastids
218 are significantly larger than normal, which may be the consequence of a microtubular system defect.
219 This seems to induce formation of curved epivalve walls (Fig. 3B). As a consequence, daughter cells
220 appear deformed (Fig. 2C). Extreme curvatures of the valve results in the formation of much smaller
221 daughter cells (15–20 μm ; Fig. 3C) compared to the mother cells (about 40–50 μm). The “small-cell”
222 characteristic is then transmitted to subsequent daughter cells, resulting in colonies of small individuals.
223 In this case, the deformity and reduction in size does not seem to decrease cell fitness, because the
224 small-sized cells reproduce as efficiently as the normally-sized cells, or even faster. In this case, the
225 abrupt size reduction is certainly a response to the environment. Interestingly, abnormally small cells
226 seem to appear at the end of the exponential growth phase and to increase in frequency as cultures age
227 (Falasco et al., 2009b). This may suggest that the “small-size aberration” was a consequence of nutrient
228 depletion or the production of secondary metabolites that could stress *A. formosa*. Sato et al. (2008) also
229 reported a sharp decrease in cell size accompanied by deformed individuals bearing two valves of
230 unequal size in old cultures.

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235 Fig 3: Light micrographs of *Asterionella formosa* grown in laboratory conditions. Micrographs were
236 made on a culture in late exponential growth phase. A: Normal cellular morphotype of an *A. formosa*
237 colony. The dashed line represents septum position in a dividing cell. B: Abnormal morphotype. The
238 arrow points to a curved epivalve wall. C: Colony of normally-sized cells (about 50 μm long) cohabiting
239 with a colony of small and deformed cells (about 15–20 μm long). Scale bars represent 10 μm .

240

241 According to Hustedt (1956) and Granetti (1968), certain morphological alterations are not induced by
242 genetic changes, because the diatoms return to their typical form during the subsequent sexual cycle. In
243 contrast, other authors have elevated altered forms to the variety or species level (e.g., Jüttner et al.,
244 2013), thus assuming taxonomic distinctness. Biochemical and molecular investigations of clones with
245 distinct morphotypes would thus be required to assess whether deformities are short term phenotypic
246 responses, problems with gene expression (i.e., assembly line malfunction) or true alterations in the
247 genes. The evolution of a species, at least in part, is a temporal process of physiological (teratological)
248 changes resulting in “deviations from the normal type of organism/species”. The gain or loss of any
249 structure, like for example rimoportulae, potentially represents a new species. Even a change in the
250 position of a structure can constitute a new species. Teratologies under temporal changes can influence
251 populations or species. For the purpose of this discussion paper, longer temporal events of teratology
252 (reproduction of a selected deformity over generations) can lead to speciation events, while short term

253 teratologies (not reproductively viable in the next generation after sexual reproduction) are considered
254 dead end and non-taxonomically significant.

255

256 2.3 Abnormal overall shape

257

258 The initial question here would be: “when does an atypical valve outline fall into the abnormal
259 category”? For the purpose of this discussion, an abnormal outline is when aberrations affect valve
260 symmetry, or when defects alter the “normal” shape of the diatom. This working definition excludes
261 deviations from expected shape changes as cells get smaller (natural variability). Variability in shape
262 related to post auxosporulation is difficult to differentiate from an abnormal form, but these forms are
263 considered as rare. The second question is when does the deviation from the “common shape” become
264 significant enough to be deformed? This question is particularly relevant when aberrations are subtle and
265 subjectively identified with variability between analysts. On the other hand, marked deviations from the
266 normal shape are easy to notice and classify as aberrant. Deformities affecting the general valve outline
267 are assumed to be passed along from generation to generation through asexual cell division. Replication
268 of the deformity happens because the newly formed valves must “fit into” the older valves; thus, the
269 aberration is copied and the number of abnormal valves increases even though “new errors” do not
270 occur. This scenario is clearly stated in numerous publications, as for instance:

271

272 “A morphological variation in the frustules outline is easily transmitted through generations, others, like
273 the pattern and distribution of the striae, are not: this is the reason for the lower frequency of the latter
274 alterations.” Falasco et al. (2009a)

275

276 “If the damaged cells survive, they will be able to reproduce: in this case, the daughter clones will build
277 their hypotheca on the basis of the damaged epitheca, spreading the abnormal shape through the
278 generations” Stoermer and Andresen (2006)

279

280 This propagation of abnormal valves during cell division may explain why valve outline deformities are
281 the most frequently reported in the literature and with the highest abundances. For example, Leguay et
282 al. (2016) observed high abundances of individuals presenting abnormal valve outlines in two small
283 effluents draining abandoned mine tailings (50% and 16%, all observed on the same *Eunotia* species).
284 Valve outline deformities reaching 20 to 25% (on *Fragilaria pectinalis* (O.F.Müll.) Lyngb.) were
285 observed at a site located downstream of textile industries introducing glyphosate in the Cleurie River,
286 Vosges, France (Heudre, DREAL Grand Est, Strasbourg, France; unpublished results). Kahlert (2012)
287 found deformities of up to 22% on *Eunotia* species in a Pb contaminated site. The effect of carry-over
288 from cell division could explain the high frequency of abnormal individuals (reaching up to >90% with a
289 marked indentation) in a culture of *Gomphonema gracile* Ehrenb. from the IRSTEA-Bordeaux
290 collection in France (Morin, IRSTEA-Bordeaux, France; unpublished results).

291

292 If cell division is the key agent for the transmission of valves with abnormal outlines due to the “copying
293 effect”, then this raises the question of how does the first frustule get deformed? An initial abnormal
294 valve must start the cascade of teratologies: logically, we could argue that the initial deformity appears
295 during sexual reproduction when the frustule of the new cells is formed without the presence of an
296 epivalve as a template. Hustedt (1956) discussed this scenario where he suggested that particular
297 environmental conditions during auxospore formation may induce morphological changes that are
298 perpetuated during vegetative reproduction, giving rise to a population with a morphology different from
299 the parental line. This new abnormal cell would then divide by mitosis and legate the abnormal shape to

300 all subsequent daughter cells, as also suggested by Stoermer (1967). This is in-line with the observation
301 that the above-mentioned *G. gracile* bearing the marked incision on the margin is ca. 50% larger than its
302 “normal” congeners of the same age. On the other hand, there is also the possibility or hypothesis in the
303 gradual appearance of an abnormal outline that is accentuated from generation to generation. First, a
304 very subtle deviation from the normal pattern appears on the forming hypovalve and a deformity is not
305 noticed. This subtle deviation from the normal shape is progressively accentuated by the newly forming
306 hypovalve leading to a very mild abnormality of the overall shape, and so on through multiple
307 successive divisions resulting in a population of slightly abnormal to markedly deformed individuals. If
308 this scenario is possible, then the opposite situation could also be plausible: the subtle deviation from the
309 normal overall shape is “fixed” or “repaired” during subsequent cell divisions instead of being
310 accentuated. In another scenario, the epivalve could be normal and the hypovalve markedly deformed,
311 potentially resulting in an individual that would not be viable. Sato et al. (2008) reported something
312 similar in old cultures of *Grammatophora marina* (Lyngb.) Kütz. where drastic differences in valve
313 length between epivalve and hypovalve (up to 50% relative to epitheca) were observed, suggesting that a
314 “perfect fit” is not always necessary. These authors also observed cells that had larger hypothecae than
315 epithecae, implying expansion before or during cell division. In this case, are these growth forms viable
316 and sustainable?

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318 2.4 Other deformities

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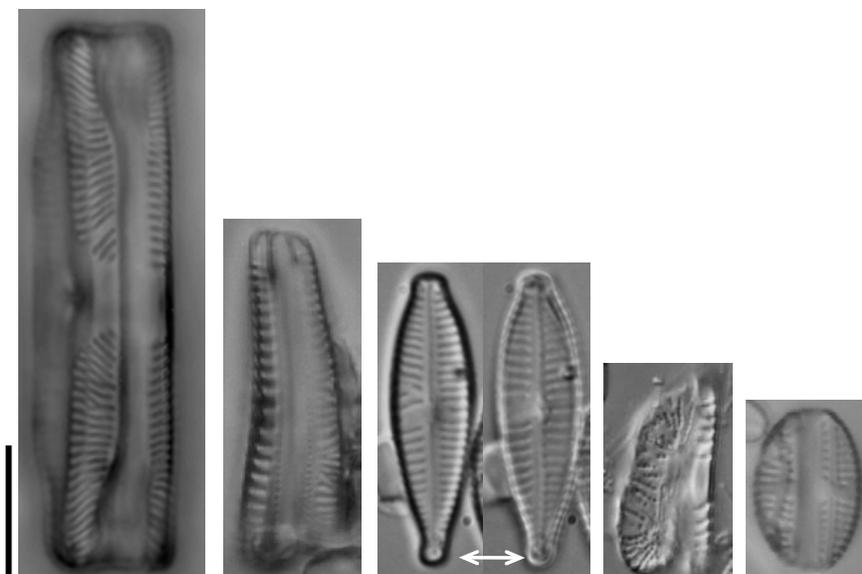
320 Although irregular valve outlines appear to be a common and frequent type of teratology, it is not
321 always the dominant type of deformity observed within a given population. For instance, Arini et al.
322 (2013) found abnormal striation patterns and mixed deformities to be the most frequently observed
323 aberration in a Cd exposure experiment using a culture of *Planothidium frequentissimum* Lange-
324 Bertalot. Deformities on the same species were observed more frequently on the rapheless-valve and the
325 structure affected was generally the cavum and less frequently the striae (Falasco, Aquatic Ecosystem
326 Lab., DBIOS, Italy; unpublished results from field samples).

327

328 The sternum is the first structure to be produced by the SDV; if an aberration occurs in this region,
329 other/additional aberrations may subsequently appear in striation patterns occurring later during valve
330 formation. This could therefore be considered as “collateral damage” because of an abnormal sternum
331 (including the raphe), leading to mixed deformities. For example, Estes and Dute (1994) have shown
332 that raphe aberrations can lead to subsequent valve and virgae (striae) distortions. However, abnormal
333 striation patterns have also been observed on valves showing a normal raphe or sternum system.
334 Because the appearance of striae aberrations is believed to happen later during valve formation, should
335 these teratologies be considered as a signal reflecting a mild deleterious effect? The same reasoning
336 applies to the general valve outline; should it be considered as a minor response to stress or as collateral
337 damage? Another interesting deformity is the presence of multiple rimoportulae on *Diatoma vulgare*
338 valves. Rimoportulae are formed later in the morphogenesis process; should this type of alteration be
339 considered equal to raphe or striae abnormalities? Our observations on raphid diatoms suggest that
340 individuals generally exhibit abnormal striation or sternum/raphe anomalies only in one valve, while the
341 other valve is normal (Fig. 4). The possibility of an abnormal structure on the two valves of a cell is not
342 excluded, and would therefore suggest two independent responses to stress. A mother cell with one
343 abnormal valve (e.g., raphe aberration) will produce one normal daughter cell and one abnormal
344 daughter cell, resulting in a decreasing proportion of teratologies if no additional “errors” occur. This
345 makes deformities in diatom valve structure, other than the abnormal outline category, good biomarkers
346 of stress because the deformity is not directly transmitted and multiplied through cell division. In other

347 words, aberrations occurring at different stages of valve formation may not all have the same
348 significance/severity or ecological signal, and this may represent important information to include in
349 bioassessments. The problem, however, is that these abnormalities are often rare.

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354 Fig. 4. Examples of diatom frustules showing deformities on one valve, while the other valve is normal.
355 The first three examples represent striae aberrations, while the last two pictures show mixed deformities
356 with raphe and striae aberrations (see section 3.1. Types of deformities). Scale bar = 10 microns.

357

358 2.5. Are deformed diatoms viable, fit and able to reproduce?

359

360 Based on numerous laboratory observations made by authors of this publication, it seems clear that
361 deformed diatoms in cultures are able to reproduce, even sometimes better than the normal forms (e.g.,
362 deformed *Asterionella formosa* Hassall, section 2.2 and deformed *Gomphonema gracile*, section 2.3).
363 However, the ability of abnormal cells to survive and compete in natural environments is potentially
364 affected. Teratologies have different impacts on physiological and ecological sustainability depending
365 on the particular valve structure that was altered. Valve outline deformation, for instance, could prevent
366 the correct linking spine connections during colony formation. Alterations in the raphe system could
367 limit the locomotion of motile diatoms (although this has not been observed in preliminary experiments
368 conducted on *G. gracile*, Morin, IRSTEA-Bordeaux, France; unpublished results). Motility represents an
369 important ecological trait especially in unstable environmental conditions because species can move to
370 find refuge in more suitable habitats. Alterations in the areolae patterns located within the apical pore
371 fields may prevent the correct adhesion of erected or pedunculated taxa to the substrate, impairing their
372 ability to reach the top layer of the biofilm and compete for light and nutrients.

373

374 3. THE ECOLOGICAL MEANING OF TERATOLOGICAL FORMS

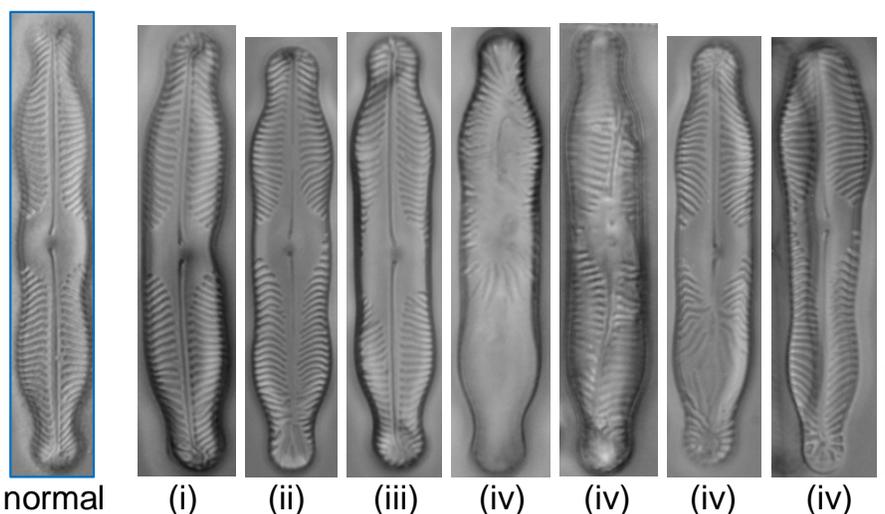
375

376 3.1 Types of deformities

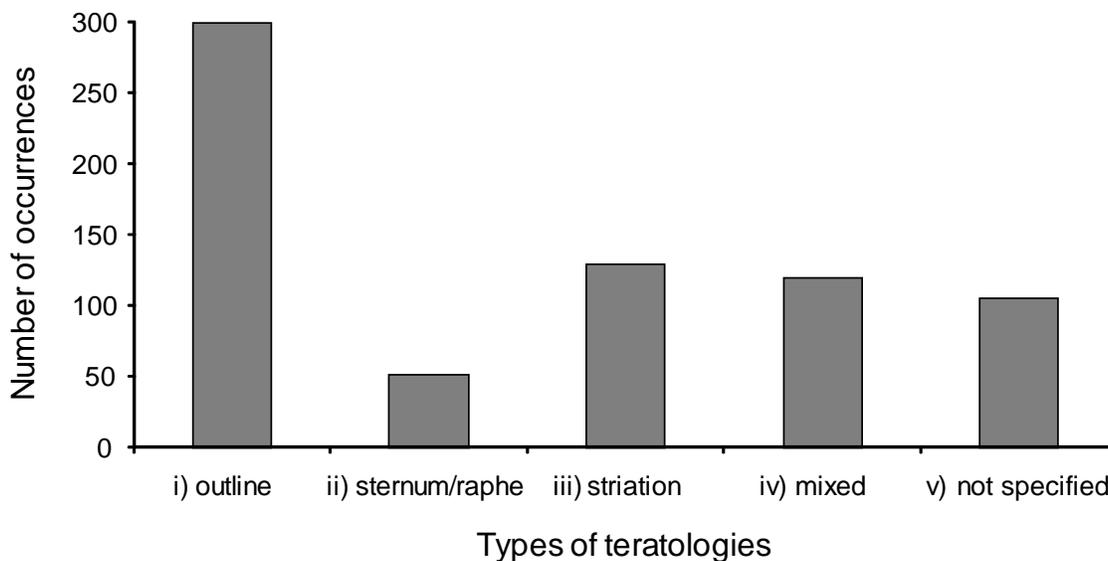
377

378 A good fit was observed in certain studies between the abundance of teratologies and the presence of a
 379 contaminant (review in Morin et al. 2012). However, other studies have failed to show a clear
 380 relationship between the frequency of abnormal forms and the level of contamination along a gradient
 381 (e.g., Fernández et al., 2017; Lavoie et al., 2012; Leguay et al., 2015); this is the “raison d’être” of this
 382 paper. Here we discuss potential avenues to deepen our interpretation of the ecological signal provided
 383 by diatoms. Do deformed cells reproduce normally? Do they consistently reproduce the teratology?
 384 These questions are intimately linked to the various types of teratologies observed. The type of
 385 deformity may therefore be an important factor to consider in biomonitoring because they may not all
 386 provide equivalent information (Fig. 5). Most authors agree to categorize teratological forms based on
 387 their type, summarized as follow: (i) irregular valve outline/abnormal shape, (ii) atypical sternum/raphe,
 388 (iii) aberrant stria/areolae pattern, (iv) mixed deformities. Despite the fact that various types of
 389 aberrations are reported, most authors pool them together as an overall % of teratologies (e.g., Lavoie et
 390 al., 2012; Leguay et al., 2015; Morin et al., 2008a, 2012; Roubex et al., 2011) and relate this stress
 391 indicator to contamination. Only a few studies report the proportion of each type of deformity (e.g.,
 392 Arini et al., 2013; Pandey et al., 2014; 2015; Pandey and Bergey, 2016).

393
 394 Based on a literature review of more than 100 publications on diatoms and teratologies, we created an
 395 inventory of >600 entries concerning various diatom taxa reported as deformed (and the type of
 396 teratology observed) as a response to diverse stresses (Appendix 1). This database is an updated version
 397 of the work presented in Falasco et al. (2009a). We assigned each of the reported teratologies to one of
 398 the four types of aberrations, which resulted in a clear dominance of abnormalities affecting valve
 399 outlines (Fig. 6).
 400



401 Fig. 5. Examples of different types (i, ii, iii and iv) and degrees of deformities observed on *Pinnularia*
 402 sp. valves in a culture exposed to cadmium. (i) irregular valve outline/abnormal shape, (ii) atypical
 403 sternum/raphe (iii) aberrant striae/areolae pattern, (iv) mixed deformities. Should they all be considered
 404 equally meaningful for biomonitoring purposes? Scale bar = 10 microns.
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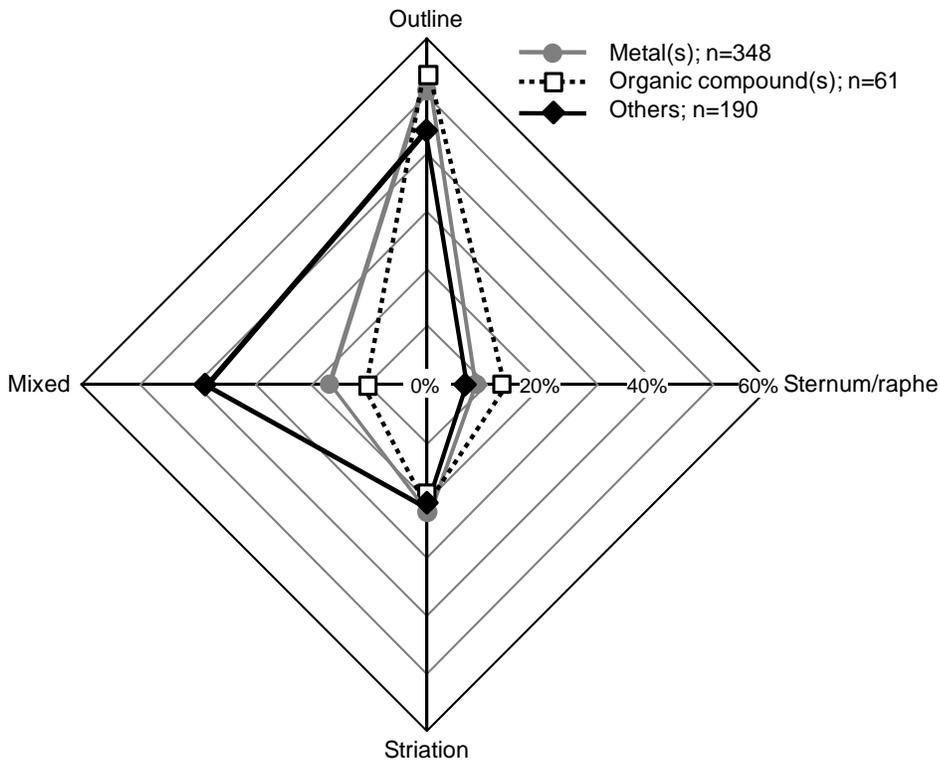
410 Fig. 6. Types of deformities reported in the literature for various diatom species. The data used to create
411 this graph come from the publications reported in Appendix 1.

412

413 *3.2 Are deformities toxicant-specific?*

414

415 As deformities are expected to occur during morphogenesis, different types of deformities may result
416 from exposure to contaminants with different toxic modes of actions. Are all toxicants likely to induce
417 similar deformities? From our database, the occurrences of the different types of deformities were
418 grouped into three categories of hypothesized cause (including single source and mixtures): metal(s),
419 organic compound(s), and a third one with all other suspected causes (*a priori* non-toxic) such as
420 crowding, parasitism, and excess nutrients (excluding unspecified causes). The results presented in Fig.
421 7 should be interpreted with caution with unequal data available for the different categories (in
422 particular, low number of data for organic compounds). Similar patterns in the distribution of
423 deformities were found with exposure to organic and inorganic toxicants; in >50% of the cases, solely
424 the valve outline was mentioned as being affected. Other types of deformities were, by decreasing order
425 of frequency: striation (ca. 20%), followed by mixed deformities (ca. 14%), and sternum/raphe
426 alterations (ca. 12%). This is in concordance with other observations indicating that exposures to metals
427 led to about the same degree of deformations as exposures to herbicides; in both cases, the highest toxin
428 concentrations caused the highest ratio of sternum/raphe deformities to outline deformities (Kahlert,
429 2012). In contrast, other than toxic exposure conditions (or unknown) resulted in deformities affecting
430 cell outline in 45% of the cases, while 30% were mixed teratologies, 20% affected the striae and less
431 than 10% the sternum/raphe system. Thus, the distributions of deformity types for toxic and non-toxic
432 exposure were slightly different, which underscores the potential of deformity type to clarify the nature
433 of environmental pressures and strengthens the need for describing precisely the deformities observed.



434
435

436 Fig. 7. Deformity occurrence (expressed as %) classified by types and reported causes of stress in field
437 and laboratory studies. The data were gathered from the information available in the publications
438 presented in Appendix 1. Data were not considered for this graph when the cause of teratology was not
439 specified.

440

441 Figure 7 suggests that mixed deformities occur more frequently for environmental stresses (including
442 various perturbations such as nutrient depletion) than for contaminant-related stresses. However, timing
443 could also be a potential cause of differentiation between the various types of aberrations. Timing here
444 can be interpreted in two very different ways. First, it can be related to the chronology of teratology
445 appearance in ecosystems or cultures. For example, if an abnormal valve outline aberration occurs early
446 during an experiment, then this deformity will be transmitted and multiplied through cell division.
447 However, if the individual bearing the abnormal valve shape appears later in time (or if this type of
448 deformity does not occur), then other types of deformities may appear and become dominant. On the
449 other hand, the presence of one type of deformity over another could also be associated to the moment
450 during cell formation at which the stress occurs, i.e., that the contaminant reached the inner cell during
451 the formation of one structure or another. There is also the possibility that an abnormal outline deformity
452 is a secondary result from an impact affecting another mechanism of valve formation.

453

454 3.3. Proneness to deformities and tolerance to contamination

455

456 Are all diatom species equally prone to different types of deformities? From the literature published over
457 the past ca. 70 years, we present species observed, the type of deformities noted and the tolerance to
458 contamination when reported (Appendix 1). Based on these data, we observed that the most common
459 aberration is valve shape (as also presented in Fig. 6) and that this aberration is particularly evident for
460 araphid species. Deformities in araphid species had ca. 60% of the reported deformities as irregular

461 shape. This finding suggests that araphid diatoms may be more “prone” to showing abnormal valve
462 outlines compared to raphid or centric diatoms. Therefore, araphid diatoms may not be good biomarkers
463 compared to other species especially considering that shape aberration is multiplied by cell division (see
464 above discussion). However, proneness to different types of deformities differed among long and narrow
465 araphids: *Fragilaria* species mostly exhibited outline deformity (67%), compared to the robust valves of
466 *Ulnaria* species (29%).

467
468 In addition to araphids, *Eunotia* species also tend to show abnormal shapes (>75% in our database). This
469 suggests that the formation of a long and narrow valve may provide more possibility for errors to occur
470 or that the araphid proneness to deform may result from the absence of a well-developed primary and
471 secondary sternum/raphe structure that could strengthen the valve. This argument may also be valid for
472 *Eunotia* species that have short raphes at the apices, which is supported by irregularities mostly observed
473 in the middle portion of the valve. Specimens of the *Cocconeis placentula* Ehrenb. complex
474 (monoraphids) from natural assemblages collected in contaminated and uncontaminated waters have
475 also frequently been observed with irregular valve outlines in Italian streams (Falasco, Aquatic
476 Ecosystem Lab., DBIOS, Italy; unpublished results). This genus might be considered as unreliable in the
477 detection of contamination because it seems to be prone to teratologies (mainly affecting valve outline
478 which is transmitted during cell division).

479
480 A puzzling observation is the presence of deformities affecting only one species among the array of
481 other species composing the assemblage. The abnormal specimens may all belong to the dominant
482 species in the assemblage or not. When this situation is encountered for irregular shape teratologies, we
483 can argue that this is in part due to the transmission of the aberration during cell division. This was the
484 case at a mine site (with an assemblage almost only composed of two species) where 16% of the valves
485 showed an abnormal outline and were all observed on species of *Eunotia*, while no teratology was
486 observed on the other dominant species (Leguay et al., 2015). The same situation was noted in the
487 previously mentioned example from the French River contaminated by a pesticide where 20–25% of
488 abnormal shapes were observed on *F. pectinalis* (O.F.Müll.) Gray. On the other hand, when only one
489 species in the assemblage presents deformities of the sternum/raphe structure and/or the striae, this
490 suggests a true response to a stress event by a species prone to deformities. This has been observed at a
491 mine site (high Cu) where deformities reached 8% and were always observed on *Achnanthisdium*
492 *deflexum* (Reimer) Kingston (Leguay et al., 2015).

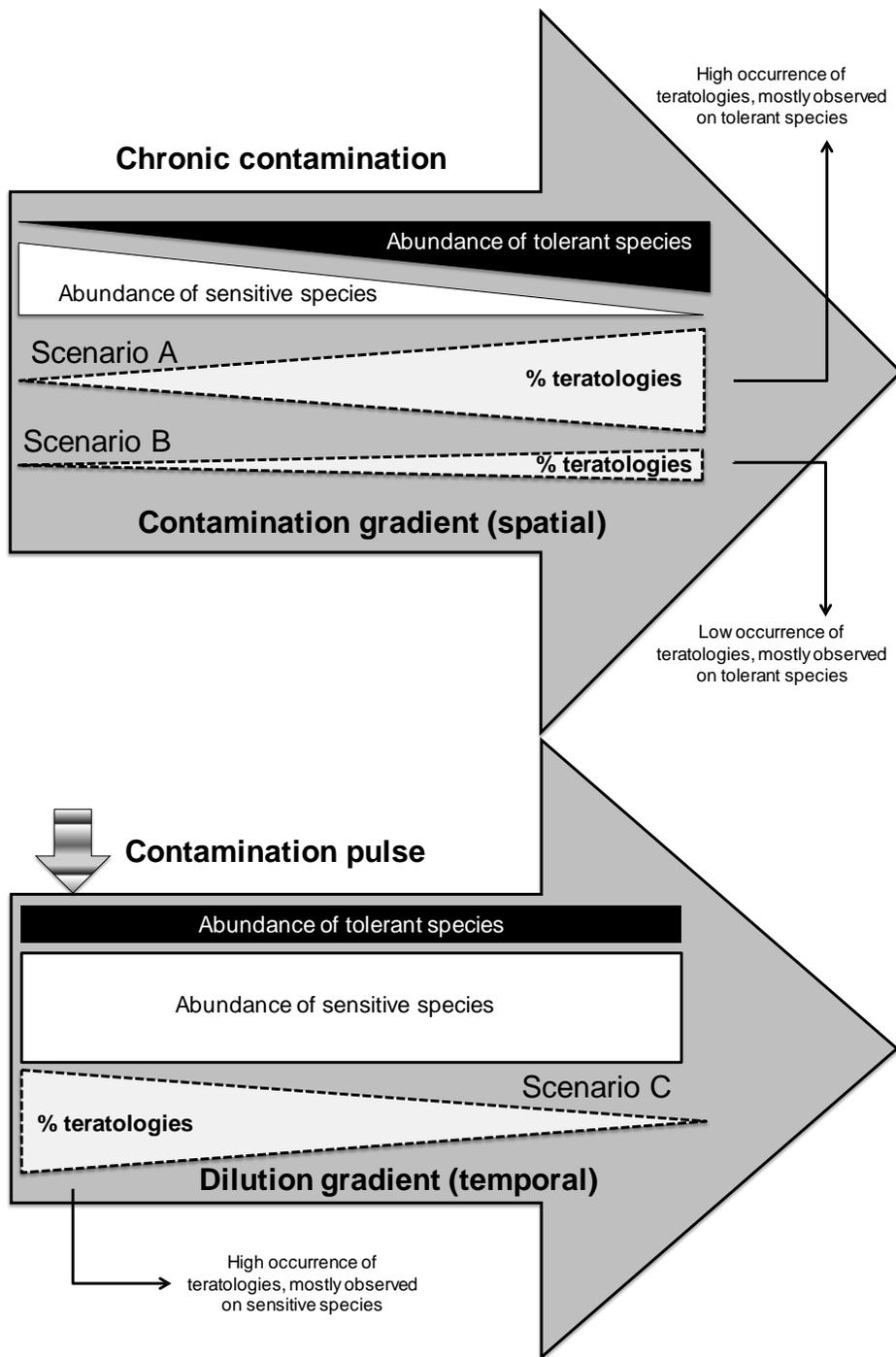
493
494 Numerous species are known to be tolerant to contaminants. For example, Morin et al. (2012) provide a
495 list of diatom species that are cited in the literature as tolerant or intolerant to metals. As explained in
496 their review, species that are able to tolerate toxic stress will thrive and dominate over sensitive species.
497 Similar observations led to a concept called Pollution-Induced Community Tolerance (PICT) developed
498 by Blanck et al. (1988). According to this paradigm, the structure of a stressed assemblage is rearranged
499 in a manner that increases the overall assemblage tolerance to the toxicant. Considering an assemblage
500 where most species are tolerant, we would expect to observe less teratologies. However, this is not
501 necessarily the case as aberrations are commonly encountered on tolerant species. This observation is
502 not a surprise because even tolerant and dominant species are still under stress conditions (Fig. 8,
503 scenario A). In this scenario, most teratologies are observed on tolerant species and very few on
504 sensitive species due to their rarity in the assemblage. However, this is not always the case as some
505 tolerant species are less prone to deformities than others (Fig. 8, scenario B), resulting in fewer
506 deformed valves in highly contaminated environments. This raises the question as to whether
507 deformities should be weighted as a function of species proneness to abnormalities. Furthermore, species

508 have been shown to develop tolerance resulting in a population adapted to certain stressors, which then
509 may or may not show deformities. For example, Roubex et al. (2012) observed that the same species
510 isolated from upstream and downstream of a Cu-contaminated site has different sensitivities to Cu, i.e.,
511 that not all populations of a species have the same tolerance. We should therefore expect variability in
512 the sensitivity to deformation, even within tolerant species.

513
514 There is also the scenario where diatom assemblages are stressed by intermittent events of
515 contamination; a spill from a mine tailing pond for example. If such assemblages are dominated by
516 metal-sensitive species, we would expect to observe more teratologies on these species and very few on
517 tolerant species as they are rare (Fig 8, scenario C). This, of course, is based on the hypothesis that
518 deformities will appear on sensitive species faster than the time it takes the assemblages to restructure
519 towards a dominance of tolerant species (which would bring us back to the above-mentioned scenarios;
520 also see section 5.3).

521
522 We would furthermore expect that tolerance to deformities would not only be species-dependent, but
523 also environment-dependent. In general, we hypothesize that suboptimal conditions (e.g., pH, nutrients,
524 light, competition) favour the occurrence of teratological forms, while optimal conditions decrease their
525 occurrence. Environmental conditions would then set the baseline on how sensitive a diatom assemblage
526 is to toxic impacts. For example, some samples from pristine forest wetlands/swamps with low pH and
527 no source of contaminants in the Republic of the Congo showed cell outline deformities (2%) (Taylor,
528 School of Biological Sciences, NWU, South Africa; unpublished results). The presence of teratologies
529 was therefore assumed to be attributed to the low pH of the environment or to the fact that these isolated
530 systems had become nutrient limited. The key message from this section is to acknowledge that
531 deformities may be found under different stresses (not only contamination by metals or organic
532 compounds), and also that deformed diatoms are not always observed in highly contaminated
533 environments.

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Fig. 8. Conceptual model for the occurrence of teratologies from contaminant exposure among tolerant and sensitive species. In scenario A, the assemblage is prone to deformities and their occurrence increases with contaminant concentration. In scenario B, the occurrence of deformities is low due to the predominance of cells that typically do not exhibit structural changes in the presence of contaminants. Since sensitive species are likely to be eliminated from the assemblage as contamination increases, the occurrence of valve deformities observed on sensitive species in this assemblage for scenarios A and B is low. Finally, in scenario C, short term or pulse exposures are not likely to alter the assemblage composition and the occurrence of deformities is likely to affect mostly sensitive species as tolerant species are rare.

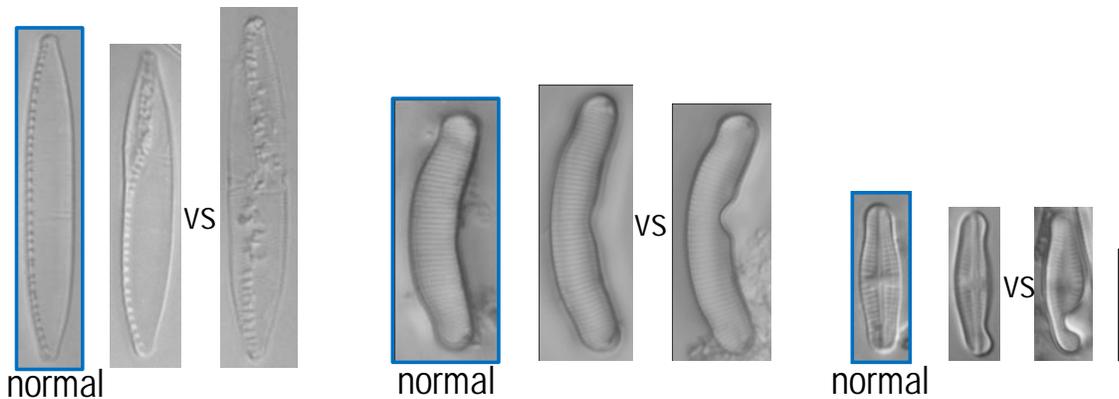
4. ISSUES WITH TERATOLOGY ASSESSMENT

4.1. *Small species and problematic side views*

Certain abnormalities are more or less invisible under a light microscope, particularly for small species. There are numerous publications reporting valve aberrations observed with a scanning electron microscope which would otherwise be missed with a regular microscope (e.g., Morin et al., 2008c). This is problematic in a biomonitoring context, especially when a contaminated site is dominated by small species such as *Fistulifera saprophila* (Lange-Bertalot & Bonk) Lange-Bertalot, *Mayamaea atomus* (Kütz.) Lange-Bertalot or *Achnantheidium minutissimum* Kütz., or by densely striated species like *Nitzschia palea* (Kütz.) W.Sm. In these cases, the frequency of deformities may be underestimated. Would it be more appropriate to calculate a percentage of teratologies considering only the species for which all structures are easily seen under a light microscope? In the same line of thought, how should we deal with specimens observed in girdle view where deformities are often impossible to see? This situation is of concern when the dominant species tend to settle on their side, such as species belonging to the genera *Achnantheidium*, *Gomphonema*, and *Eunotia*. It could therefore be more appropriate for bioassessment purposes to calculate the teratology percentages based on valve view specimens only. This recognizes that the proportion of aberrations on certain species, often seen in girdle view, may consequently be underestimated. A separate count of deformities for species regularly observed side-ways could also be performed only considering valve-view specimens, and the % teratologies could then be extrapolated to the total valves enumerated for this species. This proposal of a separate count is based on the likely hypothesis that a deformed diatom has the same probability to lay in one or the other view as normal specimens.

4.2. *How to score the severity of the teratology?*

The severity of teratologies, i.e. the degree of deviation from the “normal” valve, is usually not assessed in biomonitoring (Fig. 9). Would this information be useful to better interpret the magnitude of the stress? This question leads to another: how to quantify the severity of valve deformities depending on the type of abnormality? The line between a normal variation and a slight aberration is already difficult to draw (Cantonati et al., 2014); is it possible to go further in this teratology assessment and score the deformities under slight-medium-pronounced deviations from the normal shape/pattern? This additional information could be of ecological interest, but might also be very subjective and limited to individual studies or situations. Image analysis might help to solve this problem in the future, although preliminary tests using valve shape have been inconclusive so far (Falasco, 2009).



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584

585 Fig. 9. Normal valve, slightly deformed valve, and markedly deformed valve of *Nitzschia palea*, *Eunotia*
586 sp., and *Achmanthidium minutissimum* exposed to metals. Scale bar = 10 microns.

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589 5. IMPLICATIONS FOR BIOMONITORING

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591

591 5.1. Deformities as an indicator of unhealthy conditions.

592

593 The frequency of deformities has been reported as a good biomarker of metal contamination, and in
594 fewer studies to organic contamination. In most cases the effects of contamination on diatom
595 teratologies were evaluated using percent of deformities regardless of their type. The majority of the
596 studies either compared a contaminated site with a reference site or tested experimental conditions with
597 a control and one or two contamination levels. As examples, Duong et al. (2008) and Morin et al.
598 (2008a) found a significantly higher presence of teratologies in a stream contaminated by metals (Cd and
599 Zn) compared to its upstream control. In laboratory experiments using a monospecific diatom culture or
600 on biofilm communities exposed to three levels of Cd (control, 10–20 $\mu\text{g/l}$ and 100 $\mu\text{g/l}$), Arini et al.
601 (2013), Gold et al. (2003) and Morin et al. (2008b) observed significantly higher proportions of
602 deformed individuals in the contaminated conditions, but the overall difference in % teratologies
603 between concentrations of Cd was not statistically significant. These examples underscore the usefulness
604 of teratologies as a biomarker of stress. However, linking the magnitude of the response to the level of
605 contamination is not as straightforward as comparing contaminated and reference conditions. For
606 example, Cattaneo et al. (2004) only found a weak relationship between deformities and metal
607 concentrations in lake sediments. Fernández et al. (2017) and Lavoie et al. (2012) were not able to
608 correlate the occurrence of valve deformities with a gradient in metal concentrations in a contaminated
609 stream. Leguay et al. (2015) observed the highest proportions of deformities at the most contaminated
610 sites, but significant correlations were not observed using each metal separately and the confounding
611 effects of metal contamination and low pH (~ 3) made the direct cause-effect link difficult to assess. In
612 these last studies, more aberrant diatom valves were observed at the contaminated sites compared to the
613 reference sites, but the correlation between teratologies and metal concentrations collapsed in the middle
614 portion of the contamination gradient. In laboratory cultures, a linear correlation has been observed
615 between the frequency of deformities and metal concentrations, except for the highest concentration in
616 the gradient where fewer deformations were noted (Gonçalves, University of Aveiro, Portugal and
617 Swedish University of Agricultural Sciences, Uppsala, Sweden; unpublished results). This result could
618 be explained by the fact that deformed cells may be less viable at very high metal concentrations.

619

620 Using an estimate of metal exposure/toxicity (e.g. CCU, cumulative criterion unit score; Clements et al.,
621 2000) may result in a better fit between metal contamination (expressed as categories of CCU) and
622 deformity frequency. Using this approach, Morin et al. (2012) demonstrated that >0.5% of deformities
623 were found in “high metal” conditions. Falasco et al. (2009b) used a similar approach and also observed
624 a significant positive correlation between metals in river sediments (Cd and Zn expressed as a toxicity
625 coefficient) and deformities (expressed as deformity factors). Some metric of integrated information
626 summarizing (i) the response of diatoms to contaminants (e.g. score based on teratologies) and (ii) the
627 cumulative stresses (e.g. using an overall “stress value”) seems to be an interesting approach to
628 establishing a link between contamination level and biomarker response.

629

630 5.2. Refining ecological signals by weighing teratologies

631

632 Water quality assessment with respect to toxic events linked to diatom indices could potentially be
633 refined by “weighting the deformities” as a function of deformation type. Moreover, this assessment
634 could also be pushed further by considering the severity of the deformity, the proneness of the species to
635 present abnormal forms and diversity of the species affected. Although abnormal cells are often
636 classified by types, there seems to be no ecological information extracted from this approach. Here, we
637 raise the discussion on how (or if!) we could improve biomonitoring by considering the specific
638 teratologies and their severity by modifying their weight/importance. A systematic notation/description
639 of the type and severity of deformation and species affected would be required. Thus, “ecological
640 profiles” of teratologies could be determined, as a function of the species affected (as suggested in
641 Fernández et al. 2017) and type of deformity. Indeed, improving our understanding about life cycle
642 processes and the various types of deformations would greatly enhance the assignment of impact scores
643 for biomonitoring, which is the essence of this paper.

644

645 The observation that valve aberrations are routinely found in extremely contaminated conditions led
646 Coste et al. (2009) to include the occurrence and abundance of deformed individuals in the calculation of
647 the biological diatom index BDI. In their approach, observed deformities were assigned the worst water
648 quality profile, meaning that their presence tends to lower the final water quality score. This means that
649 the severity and type of malformation, and the species involved were not considered; all teratologies
650 were scored equally. However, based on the discussion presented in section 4, this approach may be
651 simplistic and valuable ecological information on the characteristics of the deformities lost. For
652 example, in the case of araphid diatoms prone to deformation (even in good quality waters, i.e., Cremer
653 and Wagner, 2004), the presence of teratologies may not always reflect the true degree of contamination.
654 As a case example, Lavoie et al. (2012) observed 0.25–1% deformations at a site highly contaminated by
655 metals and dominated by *A. minutissimum*, while the number of abnormal forms increased up to 4%
656 downstream at less contaminated sites with species potentially more prone to deformation. More
657 specifically, all aberrations affected valve outline and were mostly observed on *Fragilaria capucina*
658 Desm. For this reason, it was impossible for the authors to correlate metal concentrations with
659 teratologies. In this particular scenario, changing the weight of the deformations based on the type of
660 deformity recorded and by considering the species (and their proneness to form abnormal valves) would
661 potentially better reflect the environmental conditions.

662

663 An experiment on the effect of Cd on a *Pinnularia* sp. (Lavoie, INRS-ETE, Quebec, Canada;
664 unpublished results) will serve as an example illustrating the potential interest in scoring teratology
665 severity. In this experiment, a higher percentage of deformed valves were observed after 7 days of
666 exposure to Cd compared to a control. The observed teratologies were almost exclusively mild

667 aberrations of the striation pattern. The proportions of deformed valves increased even more after 21
668 days of exposure, with more severe teratologies of different types (sternum/raphe, striae). In this
669 experiment, considering the types and severity of the deformities (mild vs severe) would better define
670 the response to Cd between 7 days and 21 days of exposure, which would bring additional information
671 on toxicity during longer exposure times. Developing the use of geometric morphometry approaches
672 could also help to quantitatively assess the deviation to the normal symmetry/ornamentation.

673
674 Also worth discussing is the presence of abnormally shaped valves in high abundances. If mitosis is the
675 main precursor for the occurrence of abnormal valve shape, then it is legitimate to wonder if these
676 aberrations really reflect a response to a stressor or if they are the result of an error “inherited” from the
677 mother cell? If cell division multiplies the number of valves showing abnormal outlines, then this type of
678 deformity should potentially be down-weighted or not considered for biomonitoring. However, to
679 identify valves with irregular shapes as a result of contamination versus inherited irregularities is near
680 impossible without running parallel control studies.

681

682 Finally, the score related to the frequency of deformities could also be weighted by species diversity
683 estimates. For example, if species diversity in the community is very low (e.g. one species, or one
684 strongly dominating species and some rare species) there is a potential bias in the assessment of the
685 response to a stressor. The impact may be overestimated if the species is prone to deformity, and
686 underestimated otherwise. Therefore, in addition to considering the proneness to deformity, teratology-
687 based monitoring could also include a metric where the % deformity is combined with information on
688 species diversity. This should improve ecological interpretations. However, low diversity and strong
689 dominance of one species are also typical symptoms of certain stresses such as metal contamination (see
690 section 5.3).

691

692 *5.3 Biological descriptors complementing a teratology-based metrics*

693

694 This paper has focused on the presence of diatom valve teratologies as an indicator of environmental
695 stress, specifically for contaminants such as metals and pesticides; this excludes eutrophication and
696 acidification for which diatom-based indices and metrics already exist (Lavoie et al., 2006; 2014 and
697 references therein). The teratology metric is gaining in popularity as seen by the number of recent
698 publications on the subject. However, other biological descriptors or biomarkers have been reported to
699 reflect biological integrity in contaminated environments. Although it is generally impossible to examine
700 all metrics due to limited resources and time, the most informative approach would undoubtedly be
701 based on incorporating multiple indicators.

702

703 One very simple metric to use that does not require any taxonomic knowledge is diatom cell density.
704 Lower diatom cell counts are expected as a result of altered algal growth under contaminated stress
705 conditions. This has for example been reported in metal-contaminated environments (e.g., Duong et al.,
706 2010; Gold et al., 2002; Pandey et al., 2014). However, this metric alone does not consistently reflect the
707 response of diatoms to perturbation because numerous other factors such as water discharge or grazing
708 pressure have an influence on algal abundance and biomass. Another simple metric to calculate is
709 diversity. For example, metal loading possibly contributed to lowering diatom diversity in the Animas
710 River watershed, Colorado (Sgro et al., 2007). On the other hand, diversity is also driven by many other
711 factors which do not always correlate with ecosystem’s health (Blanco et al., 2012). This multilayer
712 condition has been noticed at sites with different scenarios of contamination (abandoned mine tailings in

713 Canada, or industrial discharge in France), where assemblages were composed of ~100%
714 *Achnantheidium minutissimum* (Lainé et al., 2014; Lavoie et al., 2012). In these cases, low diversity was
715 not exclusively linked to metal contamination but also to low nutrients. Species diversity increased
716 downstream in both systems which matched with dilution of the contamination; however, this could also
717 be attributed to cell immigration and to increased nutrient concentrations downstream.

718
719 Assemblage structure also provides valuable information on ecosystems health as a shift from sensitive
720 to tolerant species reflects a response to environmental characteristics. This assemblage-level response is
721 believed to operate on a longer temporal scale as compared to the appearance of teratologies. This has
722 been observed, for example, in a study with chronic metal exposure where deformed individuals were
723 outcompeted and replaced by contamination-tolerant species, thus abnormal valves slowly disappeared
724 from the assemblage (Morin et al., 2014). This suggests that the presence of deformities may be an early
725 warning of short/spot events of high contamination, while the presence of tolerant species may reflect
726 chronic exposure. The apparent temporal disparity could in part explain unclear response patterns
727 observed under natural conditions when documenting teratologies alone as a biological descriptor.

728
729 Diatom frustule size is considered an indicator of environmental conditions, and selection towards
730 small-sized individual and or species has been observed under contamination/stress conditions (Barral-
731 Fraga et al., 2016; Ivorra et al., 1999; Luís et al., 2011; Pandey et al., in press; Tlili et al., 2011). This
732 metric is not commonly used in bioassessment, although it has potential in contributing additional
733 information on ecosystem health. The time required for valve measurements may be one limiting factor
734 which makes cell-size metrics currently unpopular in biomonitoring studies. Studies also reported
735 deformities or shape changes in diatom frustules as a result of size reduction (Hasle and Syvertsen,
736 1996).

737
738 Assessment of diatom health (live, unhealthy and dead cells) is also an interesting but unconventional
739 descriptor to consider when assessing a response to contamination (Gillet et al., 2011; Morin et al.,
740 2010; Pandey et al., submitted; Stevenson and Pan, 1999). It however requires relatively early
741 observations of the sample. This analysis of fresh material could be coupled with cell motility (Coquillé
742 et al., 2015) and life-form (or guild or trait) assessments. These biological descriptors, also not
743 commonly used, have shown relationships with ecological conditions (e.g., Berthon et al., 2011; Passy,
744 2007; Rimet and Bouchez, 2011). The live and dead status assessment can also be coupled with
745 teratology observations. For example, live and dead diatoms were differentiated at sites affected by
746 metals and acid mine drainage, and the results showed a large amount of deformities and high
747 percentage of dead diatoms (> 15%) (Manoylov, Phycology lab, Georgia College and State University,
748 Georgia, USA; unpublished results).

749
750 The presence of lipid bodies or lipid droplets in diatoms can be a descriptor of ecosystem health. Lipid
751 bodies are produced by all algae as food reserves, and can be stimulated under various conditions
752 (d'Ippolito et al., 2015; Liang et al., 2015; Wang et al., 2009; Yang et al., 2013). This biomarker has
753 shown good fit with contamination; lipid bodies increasing in number and size under metal
754 contamination (Pandey et al., in press; Pandey and Bergey 2016). Lipid analysis does not require
755 taxonomic skills, and can be quantified using dyes and fluorescence. However, depending on the level of
756 contamination, the cell may be excessively stressed and the lipid bodies could be oxidized in order to
757 reduce the overproduction of reactive oxygen species (ROS) (as observed in the green alga *Dunaliella*
758 *salina*, Yilancioglu et al., 2014). Moreover, lipid bodies are produced under many environmental
759 conditions (e.g., lipids, more specifically triacyl glycerol (TAGs), increase under high bicarbonate

760 levels; Mekhalfi et al., 2014), and the correlation with metal contamination may be subject to
761 fluctuation.

762

763 Finally, antioxidant enzymes are also good biomarkers of stress (Regoli et al., 2013). Under stress
764 conditions organisms suffer cellular alterations, such as overproduction of ROS, which can cause
765 damage in lipids, proteins and DNA. Cells have defense mechanisms against ROS, and once they are
766 activated, there are several biochemical markers to assess different contaminations. These classical tests,
767 adapted to diatoms, are associated with the measurement of ROS scavenging enzymes or non-enzymatic
768 processes such as production and oxidation of glutathione and phytochelatin, or measuring lipid
769 peroxidation and pigments content. More studies are being developed to find specific biomarkers for
770 toxicants in order to effectively assess their impact on diatoms (Branco et al., 2010; Corcoll et al., 2012;
771 Guasch et al., 2016).

772

773 Considering the number of available diatom-based biological descriptors, we recommend the
774 development of a multi-metric index for contamination assessment. Keeping in mind the limited time
775 and resources available (money, analysts, equipment) it would not be reasonable to include all metrics.
776 In the future, new technologies combining genetic, physiological and environmental measures may
777 contribute to develop routine biomonitoring tools. As a first step to facilitate future bioassessments, a
778 library of teratological metrics rated against environmental health will be required. Currently, the
779 complementary information issued from the combination of certain selected metrics could significantly
780 enhance the ecological information provided by diatoms, and therefore improve our understanding of
781 ecosystems status. The assessment of contamination using biological descriptors could also be refined
782 by combining the response of organisms from different trophic levels. For example, diatom-based
783 metrics could be combined with invertebrate-teratology metrics such as chironomid larvae mouthpart
784 deformities.

785

786 6. CONCLUSIONS AND PERSPECTIVES

787

788 Are teratologies alone sufficient to adequately assess a response to contamination? Is this biological
789 descriptor ecologically meaningful? These are the fundamental questions of this discussion paper. The
790 answer is undoubtedly *yes* with selected taxa based on the number of studies that were successful in
791 correlating % deformities and contamination (mostly metals and pesticides). However, taxa prone to
792 shape deformities (e.g., *Fragilaria*, *Eunotia*) under natural conditions may provide a false positive in
793 terms of a response to contamination and thus deformities in these taxa alone within a community
794 should not be overinterpreted. Sharing current experiences and knowledge among colleagues has
795 certainly raised numerous questions and underscores certain limitations in the approach. This paper
796 provides various paths forward to refine our understanding of diatom teratologies, and hence, increase
797 the sensitivity of this metric in bioassessments. Many suggestions were presented, and they all deserve
798 more thorough consideration and investigation. One more opinion to share is that the occurrence of
799 teratologies is a red flag for contamination, even though teratologies do not always correlate with the
800 level of contamination. Teratologies, at the very least, are good “screening” indicators providing
801 warnings that water quality measurements are needed at a site. This alone is interesting for water
802 managers trying to save on unnecessary and costly analyses. Moreover, the general ecological signal
803 provided could suggest the presence of a stressor that may affect other organisms, and ultimately
804 ecosystem integrity and functions (ecosystem services). We anticipate that enumerating and identifying
805 diatom deformities can become a routine part of agency protocols for environmental stress assessment.
806 Most countries are required to comply with water quality regulations and guidelines that would greatly

807 benefit from such a biomonitoring tool. Hopefully, this paper will trigger more discussion and research
808 on the subject to enhance our understanding of the precious ecological information provided by the
809 presence of diatom teratologies.
810

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