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2 **Editor summary:**

3 Evolution of Omicron lineages and future evolution trajectories of SARS-CoV-2.

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5 **Reviewer Recognition:**

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7 Nature Microbiology thanks Rowena Bull, Frank Kirchhoff and the other, anonymous,
8 reviewer(s) for their contribution to the peer review of this work.

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19 SARS-CoV-2 evolution in the Omicron era

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42 **Since SARS-CoV-2 lineage BA.5 (Omicron) emerged and spread in 2022, Omicron lineages**
43 **have massively diversified. Here, we review the evolutionary trajectories and processes**
44 **underpinning the emergence of these lineages, and identify the most prevalent**
45 **sublineages. We discuss the potential origins of second-generation BA.2 lineages. Simple**
46 **and complex recombination, antigenic drift and convergent evolution have enabled SARS-**
47 **CoV-2 to accumulate mutations that alter its antigenicity. We also discuss the likely future**
48 **evolution trajectories of SARS-CoV-2.**

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50 Introduction

51 SARS-CoV-2 has been intensely sampled and sequenced, and is now a paradigm for
52 understanding viral emergence and evolution in real time during a pandemic. Towards the
53 end of 2020, and throughout 2021 and 2022, SARS-CoV-2 evolved rapidly and diversified into
54 many lineages¹⁻³, with variants of concern (VOCs) identified using Greek letters such as Alpha
55 or Omicron. Much of the lineage diversification has occurred in the viral spike protein, in part
56 due to strong selection pressure from neutralising antibodies. Indeed, following *in vitro*
57 selection with pooled sera from convalescent and vaccinated individuals, ancestral spikes
58 evolved several antigenic mutations that were shared with the Omicron variant^{4,5}.
59 Throughout the pandemic SARS-CoV-2 variants have shown strong evidence of convergent
60 evolution⁶, where the same (or functionally similar) mutations have arisen multiple times,
61 independently, in distinct genetic backgrounds. Many of the observed mutations in the SARS-
62 CoV-2 spike protein are also predictable with deep mutational scanning, based on the
63 reduction in antibody binding they confer^{5,7}, or enhancement in ACE2 binding or RBD
64 stability^{8,9}.

65 After the initial discovery of the SARS-CoV-2 Omicron VOC in late 2021¹⁰, many
66 countries and regions experienced successive waves of infections caused by Omicron lineages
67 and sublineages¹, including BA.1, BA.2, and BA.5, together with their sublineages. BA.1-5 are
68 thought to have emerged from a shared but currently uncharacterised human or animal
69 reservoir of Omicron genetic diversity^{10,11}. From early 2023 a mix of Omicron sub-lineages are
70 emerging and growing, often coinciding with waves of infections (for how new variants are
71 identified, see box 1). Here we review the evolutionary events and processes that have led to
72 the emergence of these lineages.

73 Second-generation variants

74 SARS-CoV-2 has periodically produced 'variants' defined by long ancestral
75 phylogenetic branches, that lack genetic intermediates, and sometimes have an ancestral
76 branch (for the variant) that emerges from inside older, not contemporary, genetic
77 variation^{3,10-14}. Interestingly, this feature may have parallels with the evolution of pandemic
78 norovirus strains¹⁵. This seemingly 'saltatory' pattern of virus molecular evolution is

79 hypothesised to be the result of virus evolution during long-term chronic infections^{3,13,14,16-18},
80 with the evolution appearing to be saltatory due to a lack of intermediate sequences being
81 collected from the infected individual (a review of the evidence for this hypothesis can be
82 found in Markov et al³). The extended duration of some chronic infections might enable
83 intrahost accumulation and fixation of mutations, owing to the long period of time within a
84 single host and therefore no transmission bottleneck. Other hypotheses have been proposed,
85 such as re-emergence of lineages from animal reservoirs, or cryptic circulation of SARS-CoV-
86 2 in undersampled or geographically isolated regions of the world^{3,19}. Whilst these
87 hypotheses are biologically plausible and cannot be fully rejected, we believe that existing
88 evidence points to chronic infections as the primary cause of extremely different variant
89 lineages. Examples of variants that are extremely different include the variants of concern
90 Alpha, Beta, Gamma and the Omicron lineages (e.g. BA.1, BA.2 and BA.5)^{10,12-14,20}.

91 The first generation of SARS-CoV-2 variants of concern (Alpha, Beta, Gamma, Delta
92 and Omicron) each evolved from pre-VOC ancestors and sequentially replaced one another,
93 either locally or globally¹. In contrast, the Omicron lineages that dominated transmission in
94 many locations during late 2022 typically descend from a BA.2 background and therefore
95 represent ‘second-generation’ variants that evolved from a pre-existing VOC (Figure 1). These
96 ‘second-generation’ BA.2 lineages generally contain 10-30 additional private mutations
97 compared to their closest known ancestor. Examples include BA.2.75²¹, BA.2.10.4, BJ.1,
98 BS.1²², BA.2.3.20, BA.2.83, BP.1, DD.1, BA.2.3.22, and most recently BA.2.86²³. Like the first-
99 generation variants, these Omicron sublineages carry numerous non-synonymous mutations,
100 particularly in the spike protein N-terminal domain (NTD) and receptor binding domain (RBD)
101 (Figure 1)².

102 No clear genetic intermediates between these second-generation variants and their
103 Omicron precursors have been sampled, suggesting they evolved through a saltatory-like
104 evolutionary process, such as in the setting of chronic infections, seeded near the end of 2021
105 or start of 2022. Intriguingly many of these 2nd generation BA.2 variants were first found in
106 countries that had large BA.2, rather than BA.1 waves in late 2021/early 2022, for example
107 India, the Philippines and Vietnam²⁴.

108 Until the takeover of XBB sublineages in early 2023 , BA.2.75 was the most widespread
109 of the second-generation BA.2 variant lineages (Figure 2B)²⁵. BA.2.3.20 also showed some
110 appreciable growth in late 2022, particularly in the Philippines where it was the dominant
111 lineages sequenced over a 6 month period in late 2022 into early 2023. As of September 2023,
112 BA.2.86, appears to be growing in several regions. BA.2.86 contains over 40 mutations relative
113 to BA.2²³, a similar range to that seen in the original Omicron BA.1 lineage relative to its B.1.1
114 lineage ancestor¹⁰.

115 **'Simple' recombination**

116 Recombination is common in coronaviruses. Ever since there has been enough genetic
117 diversity sequenced to unambiguously identify chimeric genomes, it has been clear that co-
118 infection with different SARS-CoV-2 variants and homologous recombination between
119 coinfecting viruses is possible²⁶. During earlier periods of rapid lineage replacement,
120 recombinant SARS-CoV-2 lineages were mainly identified when a prior wave was in steep
121 decline, and a genetically distinct variant was emerging^{26,27}. Recombinant lineages were often
122 outcompeted by their parental lineages, arising too late to make a large impact, and
123 appearing to have too little growth advantage relative to their parental lineages. However, in
124 common with recombination in other viruses, recombinants between divergent SARS-CoV-2
125 variants can acquire unique advantageous properties from both parents²⁸. As of late February
126 2023, there were 63 Pango-designated recombinant lineages, denoted by their 'X' prefix²⁹.
127 Recombinant Pango lineages are only designated with an X if they exhibit substantial spread,
128 so this is likely a vast underestimate of the total number of recombinant lineages.

129 XBB is the most widespread inter-lineage recombinant to date, and is presently (as of
130 September 2023) dominant worldwide³⁰ (Figure 2B). XBB is a recombinant between two
131 second-generation BA.2 lineages: BJ.1 and a sublineage of BA.2.75 (most likely BM.1.1.1)
132 (Figure 3). XBB inherited the 5' part of its genome from BJ.1 and the 3' end of its genome from
133 BA.2.75, with a single breakpoint within the RBD of Spike. This Spike breakpoint resulted in
134 the inheritance of advantageous antibody escape mutations from both BJ.1 (R346T, V445P,
135 G446S) and BM.1.1.1 (N460K, F486S, F490S and the R493Q reversion), creating a highly
136 distinctive combinations of antigenic RBD mutations and forming a spike highly resistant to
137 previously generated neutralising antibodies⁷. Another notable simple recombinant lineages

138 is XBF³¹ - a recombinants between BA.5 and BA.2.75 sublineages (Figure 3). More recently the
139 first 'second order' recombinant lineage between the recombinant XBB.1 and a BA.2.75
140 sublineage was identified and designated XBL³² (Figure 3).

141 **'Complex' recombination**

142 In addition to 'simple' recombinants, more 'complex' recombinants emerged and
143 were detected for the first time in 2022^{1,33,34}. Earlier SARS-CoV-2 recombinants were the
144 result of recombinant events between extant, co-circulating lineages, and tended to contain
145 1 or 2 detectable breakpoints²⁶. Complex recombinants have been generated from parental
146 lineages not known to have co-circulated widely (e.g. Delta and BA.2 in the complex
147 recombinants shown in Figure 3.), and typically contain greater numbers of breakpoints
148 (between three and eight in these examples). They also carry many more 'private mutations'
149 (mutations that do not appear to have been inherited from either parental lineage) than
150 'simple' recombinants (Figure 3). Furthermore, the complex recombinants XAY and XBA share
151 parts of their genomes and private mutations with one another, suggesting they arose from
152 a common ancestor³³. Other examples of complex recombinants are lineages XAW (which has
153 only 2 breakpoints) and XBC³⁴.

154 Due to the often high number of breakpoints and private mutations carried by these
155 complex recombinants, and the fact that they have a non-contemporary parental lineage (one
156 that has not been observed for some time in the region of sampling), we hypothesise they
157 may arise during long-term chronic infections. This is consistent with the shared mutations of
158 XAY and XBA and their near-simultaneous emergence in the same region, suggesting that they
159 might have arisen within the same individual³³, similar to how previous chronic infections
160 have shown huge intrahost diversity³⁵. In the case of XAY, XBA, XBC, and XAW, it is possible
161 that the chronically-infected individual was first infected by Delta and subsequently
162 superinfected with BA.2 at a later date.

163 Of these complex recombinants, XBC and XAY were the most widespread (at least by
164 numbers of genomes submitted as of July 2023) and continue to be sampled. XBC.1.6, an XBC
165 sublineage with several additional antigenic changes (R346S and L452R), continues to show
166 competitive growth advantages relative to the globally dominant XBB sublineages (Figure 2A).

167 **Antigenic Drift**

168 By mid-2022, BA.5 had become the predominant variant globally, displacing BA.2 in
169 most regions²⁵. Unlike previous VOCs or BA.2 lineages, which showed relatively little
170 accumulation of antigenic mutations once they predominated (with the closest examples
171 being BA.2.12.1 or BA.1.1), BA.5 instead began to accumulate antigenic mutations in a
172 stepwise manner. This stepwise evolution contrasts with the initial second-generation BA.2
173 lineages, which lacked sampled intermediate sequences. Notable examples are the
174 sublineages of BQ.1, the most widespread of which (in terms of genomes) was BQ.1.1 and its
175 progeny, which contain three further antigenic mutations in the spike receptor binding
176 domain (RBD) – the main target for neutralising antibodies in SARS-CoV-2 (Figure 1). Several
177 examples with fewer antigenic mutations that showed some growth at the time included
178 BA.4.6, BF.7 and BQ.1.1's parental lineage, BQ.1³⁰.

179 Furthermore, some of the aforementioned second-generation variants derived from
180 BA.2 also show antigenic evolution. In particular BA.2.75 had many descendent sublineages
181 that have accumulated antigenic RBD mutations through a stepwise antigenic drift-like
182 process (Figure 1). Notable examples include BA.2.75.2, BR.2, BN.1.2.1, BM.1.1.1 and CH.1.1,
183 all of which contain several additional antigenic RBD mutations compared to the parental
184 BA.2.75 lineage (Figure 1)^{7,30}. This 'drift'-like evolutionary pattern is consistent with the
185 evolutionary processes seen in many other respiratory viruses, such as the stepwise antigenic
186 drift in some seasonal coronaviruses and influenza viruses^{36,37}.

187 Immune-escape mutations can come at a cost to replicative fitness, and as a result are
188 often accompanied by compensatory mutations. In the case of SARS-CoV-2, the RBD is the
189 dominant target of neutralizing antibodies, and escape within these epitopes also has
190 consequences for the affinity to the host receptor, ACE2. In line with this, a hypothesis has
191 been developed to help explain why some SARS-CoV-2 lineages appear to be more tolerant
192 of antigenic drift than others. This hypothesis states that lineages with relatively stronger
193 ACE2 affinity are better able to tolerate antigenic mutations that result in slight reductions in
194 ACE2 binding^{38,39}. For example, BA.2.75, which has very strong ACE2 binding³⁹, rapidly
195 accumulated antigenic mutations upon its circulation (Figure 1). Other recent examples
196 include XBB.1.5, which also shows strong ACE2 binding, and is beginning to show similar

197 diversification in the RBD³⁹, and BA.2.3.20, which quickly gained antigenic mutations - G446S
198 and F486S - as the sublineage CM.8.1 (Figure 1).

199 **Convergent evolution**

200 One feature common to all the lineages discussed in the Perspective is the high degree
201 of convergent evolution they exhibit^{7,40}. While some of these sites may enhance ACE2 binding
202 affinity (notably N460K, F486P and R493Q)^{8,39,41}, the majority are known or predicted to be
203 key antibody escape mutations^{7,24,42}. Examples of antigenic substitutions, such as R346X
204 (where X represents any other amino acid), K444X, G446X, L452X, N460K, F486X (particularly
205 F486P, a 2-nucleotide change), F490X and the R493Q reversion are present in many of these
206 lineages (Figure 1)^{24,40}. In recent months further convergent evolution has occurred within
207 dominant XBB sublineages, most prominently at RBD positions K356T, R403K, L455F, F456L,
208 Y453F and T478R. Several NTD changes, particularly deletions in the ~144 region of the NTD
209 supersite - the major target of antibodies in the NTD⁴³ - also appeared in BA.5 sublineages,
210 for example BQ.1.1.20, BQ.1.8 and BQ.1.23⁷. Similar NTD deletions are also found in BJ.1 (and
211 therefore XBB), BS.1, BA.2.83, XAW, and XBC. The NTD of SARS-CoV-2 is highly plastic, and
212 particularly prone to recurrent insertions and deletions which also show similar patterns of
213 convergence as substitutions in the RBD^{43,44}, including in Omicron lineages⁴⁵. The phenotypic
214 impact of these recurrent convergent NTD insertions is yet to be properly characterised.

215 This seemingly rapid emergence of convergent immune escape mutations coincides
216 with a narrowing of the diversity of effective neutralising antibody responses with the
217 emergence of Omicron. Only a small subset of neutralising antibodies elicited by the ancestral
218 lineages of SARS-CoV-2 effectively cross-neutralise Omicron lineages^{7,46}. Furthermore, after
219 an initial Omicron exposure, the neutralising antibody response is dominated by a subset of
220 reactivated memory B cells targeting epitopes conserved in the ancestral lineages^{7,24}. This
221 includes an enrichment of 'class 3' antibodies specific for the epitopes outside the ACE2
222 binding site, but also public lineages targeting the RBD⁷. This narrowly focussed immune
223 pressure may be the driver of the extensive convergent evolution observed within these
224 epitopes^{7,24}.

225 It is unclear if such mutations will continue to accumulate over time at further, less
226 immunodominant sites, or whether these mutations will slow down due to fitness costs
227 associated with further mutations. Recent evidence also suggests that repeated Omicron
228 exposure can result in the generation of *de novo* antibody responses, rather than just iterative
229 boosting of ancestral-specific memory B cells⁴⁷. This may lead to a re-broadening of antibody
230 responses and less dramatic convergent evolution in the future.

231 As SARS-CoV-2 continues to evolve, continuously changing epistatic interactions
232 created by RBD mutations provide favourable opportunities for novel antigenic change. For
233 example, N460K appears to enhance human ACE2 binding which may then compensate for
234 antigenic changes that reduce ACE2 affinity⁷. Linked to the changing epistatic fitness
235 landscape, this continuous evolution also gives rise to a changing genetic landscape,
236 facilitating the emergence of favourable amino acid substitutions^{8,38} that have previously
237 been rare due to the genetic context, in a manner somewhat similar to that described for
238 seasonal influenza⁴⁸. In this changing genetic landscape, an amino acid change that required
239 a two-nucleotide change in the previous genetic context, may now be reached with a single
240 mutation. Recent examples include emerging spike G339H, K478X, F486P and F490P variants,
241 which are all arising across multiple branches of the Omicron phylogenetic tree.

242 **The future of SARS-CoV-2 evolution**

243 History of SARS-CoV-2 infection and vaccination were initially broadly similar for most
244 individuals and, together with prevalent “public” antibody responses^{49,50} – that is, highly
245 similar antibodies in many individuals with shared genetic elements and modes of recognition
246 – led to somewhat homogenous selection pressures on Spike.

247 As of mid-2023, XBB sublineages with F486P now dominate globally, and also
248 represent the lineages with the fastest growth rates (for example XBB.1.5, XBB.1.16,
249 XBB.1.9.1, XBB.1.9.2, XBB.2.3 and FE.1) (Figure 3B). However, descendants of BA.2.75, BA.5,
250 BA.2.3.20, XAY and XBC continue to circulate at lower levels. Although these lineages contain
251 mutations at many of the same sites in the RBD and NTD as XBB, often the exact amino acids
252 involved differ (Figure 1). Therefore, it is possible subsequent immune responses elicited by
253 these lineages may poorly cross-react with one another (particularly those derived from XBB,

254 BA.2.75 and BQ.1.1). During the first two years of the pandemic, co-circulation of SARS-CoV-
255 2 variants was generally transient, with rapid lineage replacement¹. However, in the future it
256 is possible that several lineages with similar replicative fitness and enough antigenic distance
257 from one another might co-circulate (in a manner similar to influenza B pre-2020), at least
258 until a substantially fitter lineage or variant emerges.

259 To date, Omicron lineages have been the dominant SARS-CoV-2 variants for almost
260 half the total duration of the pandemic¹⁰. Although all the lineages described here are
261 genetically and antigenically distant from earlier Omicron lineages, when they have been
262 tested *in vitro* or *in vivo* they continue to display comparable viral, epidemiological and clinical
263 properties to their parent lineages, including a preference for endosomal cell entry,
264 decreased syncytia formation, and decreased lower respiratory tract tropism compared to
265 previous variants²⁵. Despite the dominance of Omicron lineages throughout 2022 and into
266 2023, a novel variant that is not derived from Omicron might still emerge and replace current
267 lineages, re-arising from a reservoir established prior to Omicron (for example, a chronically
268 infected patient or animal). It is, however, unclear how frequently we should expect to see
269 such events occur with so few previous examples. Since we cannot exclude the possibility of
270 emergence in the future of an antigenically distinct lineage with higher pathogenicity than
271 Omicron, it would be prudent to plan mitigation strategies, such as rapid vaccine updates,
272 extra hospital capacity, stockpiles of antivirals and selected non-pharmaceutical
273 interventions.

274 As well as new variants, it is also possible that continued evolution of Omicron could
275 result in viruses with markedly different phenotypes. There is some evidence for modest
276 variation in tissue tropism, protease preference, fusogenicity and pathogenicity among
277 Omicron lineages¹. Recombination of circulating Omicron lineages (particularly with Delta
278 lineages, as seen in the complex recombinants) could also markedly alter viral properties; as
279 has been shown for XD, an extinct recombinant between BA.1 and Delta that showed
280 intermediate pathogenicity in a mouse model²⁸.

281 The evolution of a new variant via a saltatory-like variant emerging from a Delta
282 genetic background is of particular concern, due to Delta's higher intrinsic severity than other
283 VOC⁵¹. However, the intrinsic pathogenicity of Delta might change if it were to re-emerge.

284 Notably, a small number of Delta viruses continue to be sampled and sequenced worldwide,
285 most with large numbers of private mutations, suggesting that there is a persistent reservoir
286 of chronic Delta infections (as well as of other prior variants)⁵². Such sequences almost
287 certainly represent ongoing chronic infections. In addition, less highly mutated pre-Omicron
288 variants continue to be sampled from animal reservoirs, such as white-tailed deer or farmed
289 mink, long after the variant has ceased circulation in the human population^{53,54}, leaving open
290 the possibility for their reemergence from this source.

291 Genomic surveillance and analysis of SARS-CoV-2 should continue. SARS-CoV-2 is
292 evolving according to well-understood mechanisms, but phenotypic and genetic directions of
293 viral evolution are difficult to predict. Our experience of the SARS-CoV-2 pandemic highlights
294 the importance of equitable global surveillance and sequencing capacity, which to date has
295 been lacking⁵⁵. It is vital that the lessons learned and sequencing capacity built are neither
296 forgotten nor abandoned, but instead are maintained for SARS-CoV-2, as well as other
297 respiratory viruses and viruses with zoonotic and pandemic potential.

298 As the pandemic has shown, the costs of such surveillance are trivial compared to the
299 harm that viruses can cause.

300 **Acknowledgements**

301 We gratefully acknowledge all data contributors, i.e., the Authors and their Originating
302 laboratories responsible for obtaining the specimens, and their Submitting laboratories for
303 generating the genetic sequence and metadata and sharing via the GISAID Initiative⁵⁶, on
304 which this research is based. The growth competition analysis from
305 <https://github.com/MurrellGroup/lineages>⁵⁷ was performed on all available GISAID
306 sequences, downloaded as a package on 2023-05-22.

307 The authors would also like to thank the Pango lineage designation committee and
308 wider contributors for identifying and naming lineages, and the teams behind Pangolin,
309 Nextstrain, covSPECTRUM, and USHER (particularly Angie Hinrichs) for developing tools that
310 are used to identify and survey lineages. The authors would also like to thank Shay Fleishon
311 for his valuable feedback and discussions. T.P.P is funded by the MRC funded G2P-UK National
312 Virology Consortium (MR/W005611/1). O.G.P and C.R. are supported by the Oxford Martin

313 School. O.G.P. acknowledges assistance from Stephen Attwood, funded by Horizon Europe
314 research and innovation programme under grant agreement No 871075 (ELIXIR-CONVERGE).
315 D.J.S, K.S, and B.M. were supported by funding from SciLifeLab's Pandemic Laboratory
316 Preparedness program (VC-2022-0028 and VC-2021-0033) and from the Erling Persson
317 Foundation (ID: 2021 0125).

318 **Conflicts of interest**

319 A.O'T., A.R and O.G.P have undertaken consulting for AstraZeneca AB relating to the genetic
320 diversity and classification of SARS-COV-2 lineages. D.J.S. also consults for AstraZeneca AB on
321 the topic of monoclonal antibody therapeutics for COVID-19. At the time of final submission
322 of this manuscript F. G. is now a contractor for Invivyd, Inc., a company that develops
323 monoclonal antibodies to treat COVID-19. All other authors have no conflicts of interest to
324 declare.

325 **Author contributions**

326 C.R., D.J.S., R.H., F.G., H.S., N.F., J.S., B.M. and T.P.P. researched data for article. C.R., D.J.S.,
327 R.H., F.G., H.S., N.F., J.S., A.O'T., A.R., O.G.P., C.R. substantially contributed to discussion of
328 content. K.S., B.M. and T.P.P. performed updated analyses for the article. D.J.S. and T.P.P.
329 wrote the first draft of the article. All authors reviewed and edited the manuscript before
330 submission.

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480

481 **Box 1. How new SARS-CoV-2 variants are sampled, identified and categorised.** With record
482 levels of sequenced viral genomes being generated during the COVID-19 pandemic it became
483 important to develop and implement new tools, protocols and nomenclature systems to aid
484 in interpretation of the virus evolution and epidemiology. These have come from a range of
485 different sources including academia, public health bodies, private companies and even
486 citizen science.

487 **Figure 1. Phylogenetic relatedness and convergent evolution in contemporary (as of July**
488 **2023) Omicron descendent lineages.** A simplified phylogenetic tree, modified manually from
489 the Nextclade curated tree, showing a selection of fast growing or large lineages³⁰ that exhibit
490 convergent molecular evolution. The table shows amino acid positions in the spike protein
491 that exhibit the most prominent convergent evolutionary patterns. Grey boxes indicate that
492 the amino acid at the site is the same as that in the root ancestor of BA.2. Coloured boxes
493 indicate amino acid changes at that site (with different colours arbitrarily showing different
494 amino acids). Light shading with a letter inside indicates new mutations on the branch, dark

495 shading indicates mutations inherited from a parental lineage. Branches leading into
496 recombinant lineages shown as dotted lines. Amino acid X on the X-axis labels indicates any
497 amino acid substitution at that site.

498 **Figure 2. Relative growth rates and variant proportions, as of 22nd May 2023.** (A) 60 fastest
499 growing SARS-CoV-2 lineages relative to XBB.1.5. Lineage colours are grouped by relatedness.
500 (B) Expected variant proportions under growth rates inferred from data sampled globally.
501 Lineage competition was modelled using a Bayesian multinomial regression approach
502 described previously^{30,31} and maintained online⁵⁷.

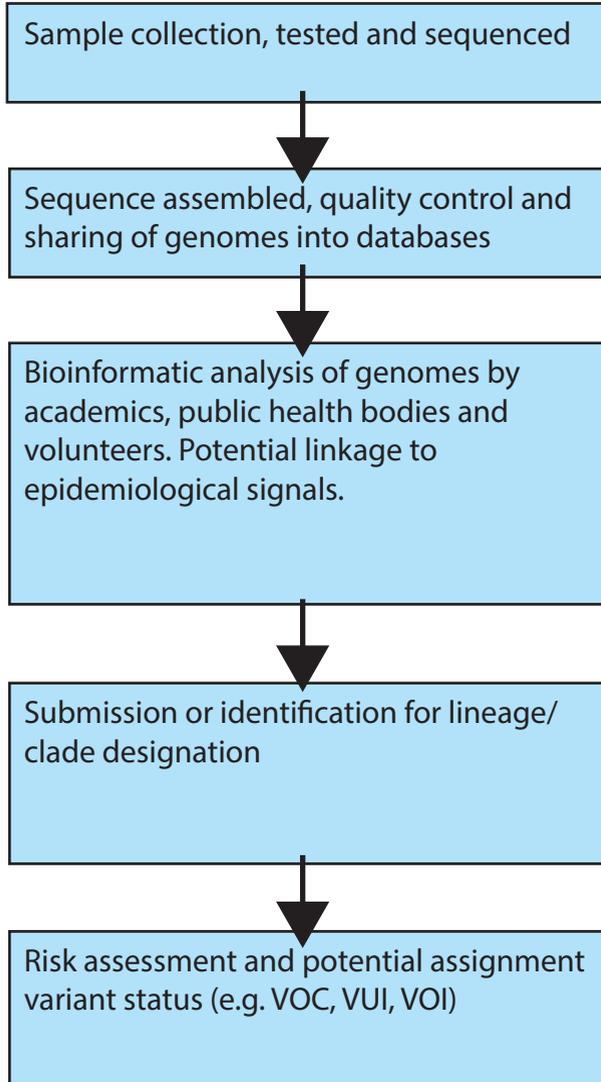
503

504 **Figure 3. Genome schematics of the contemporary recombinant lineages.** Different colours
505 indicate different parts of the genome from each parent. Grey areas indicate ambiguous areas
506 that most likely contain the breakpoint. Red lines indicate non-synonymous private
507 mutations, while yellow lines indicate synonymous private mutations. Recombinant break
508 point analysis was performed as performed previous⁵⁸, manually using presence of non-
509 convergent private mutations from putative parental lineages (identified as those sharing the
510 majority of private mutations in the relevant genomic region).

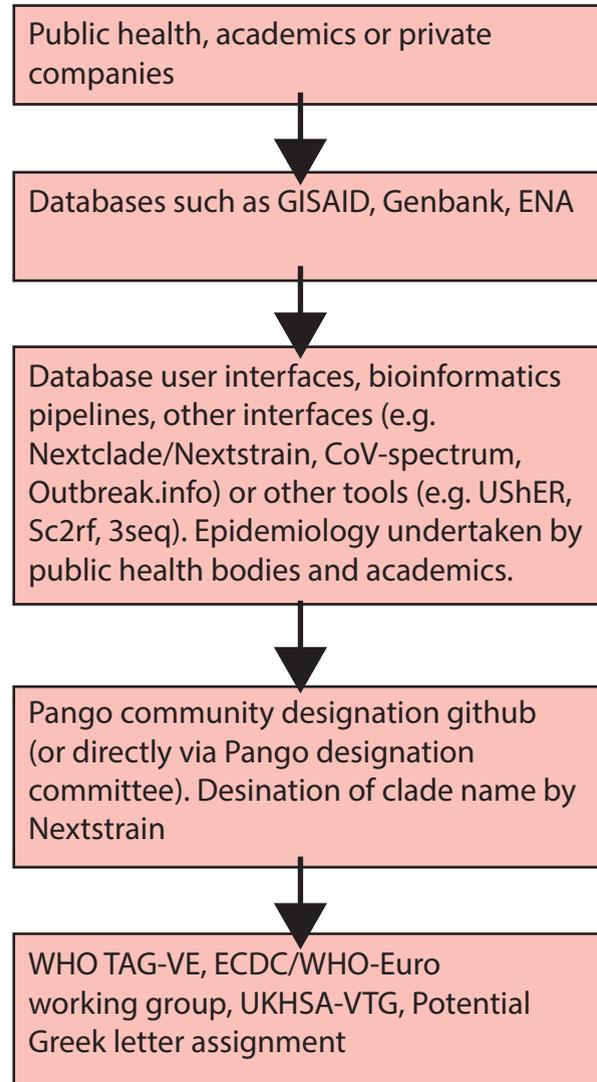
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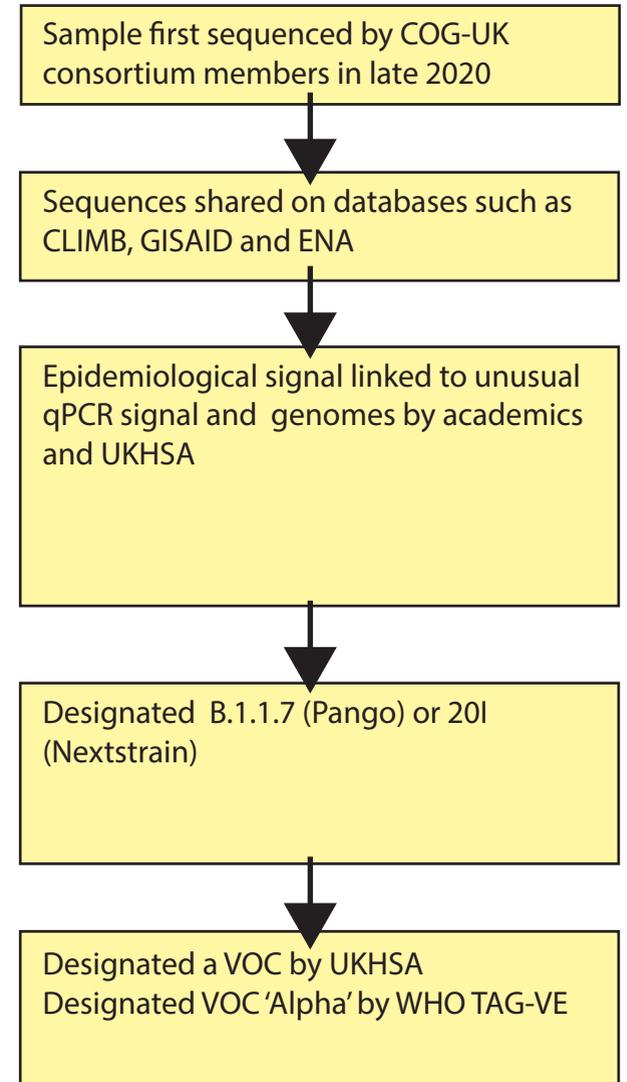
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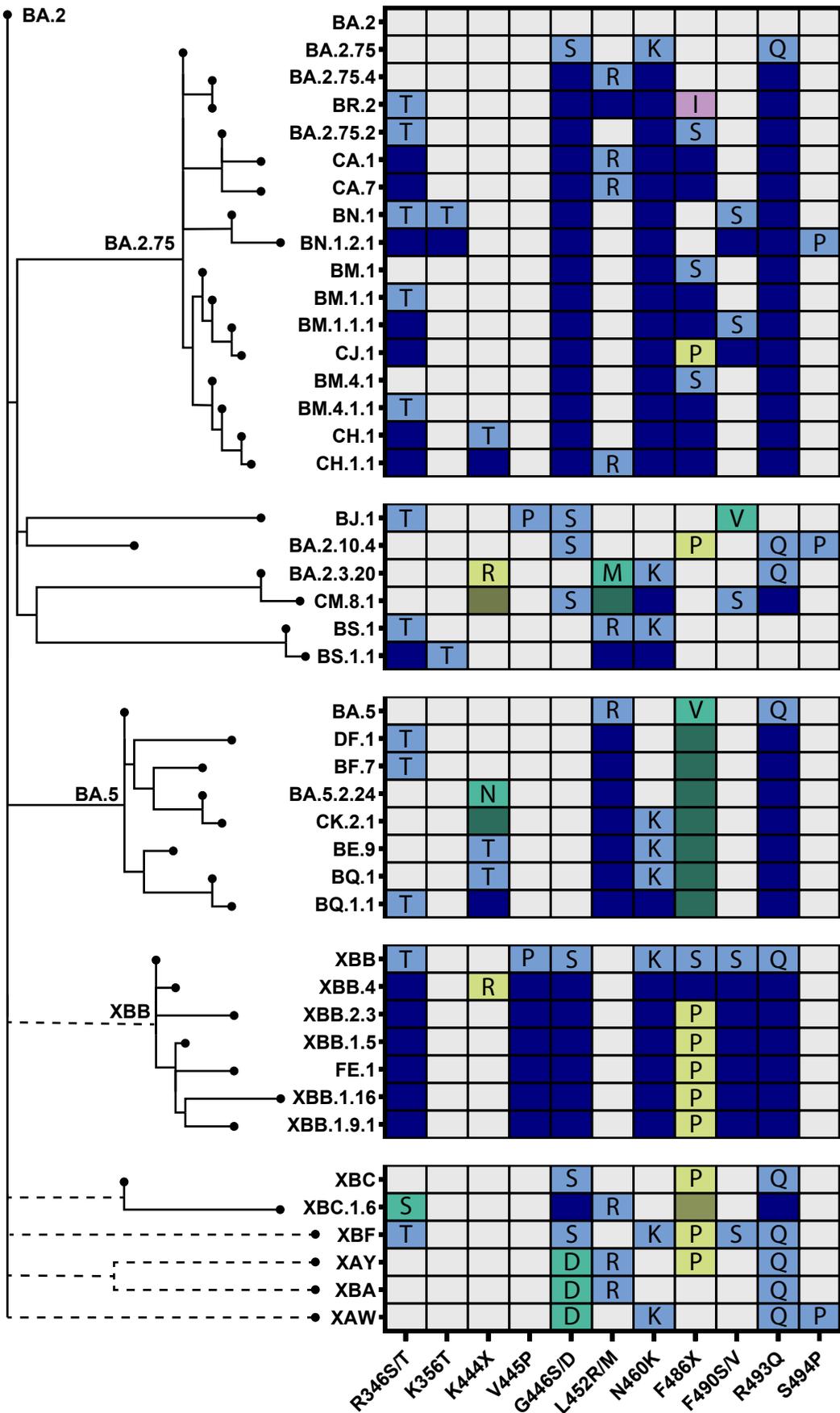


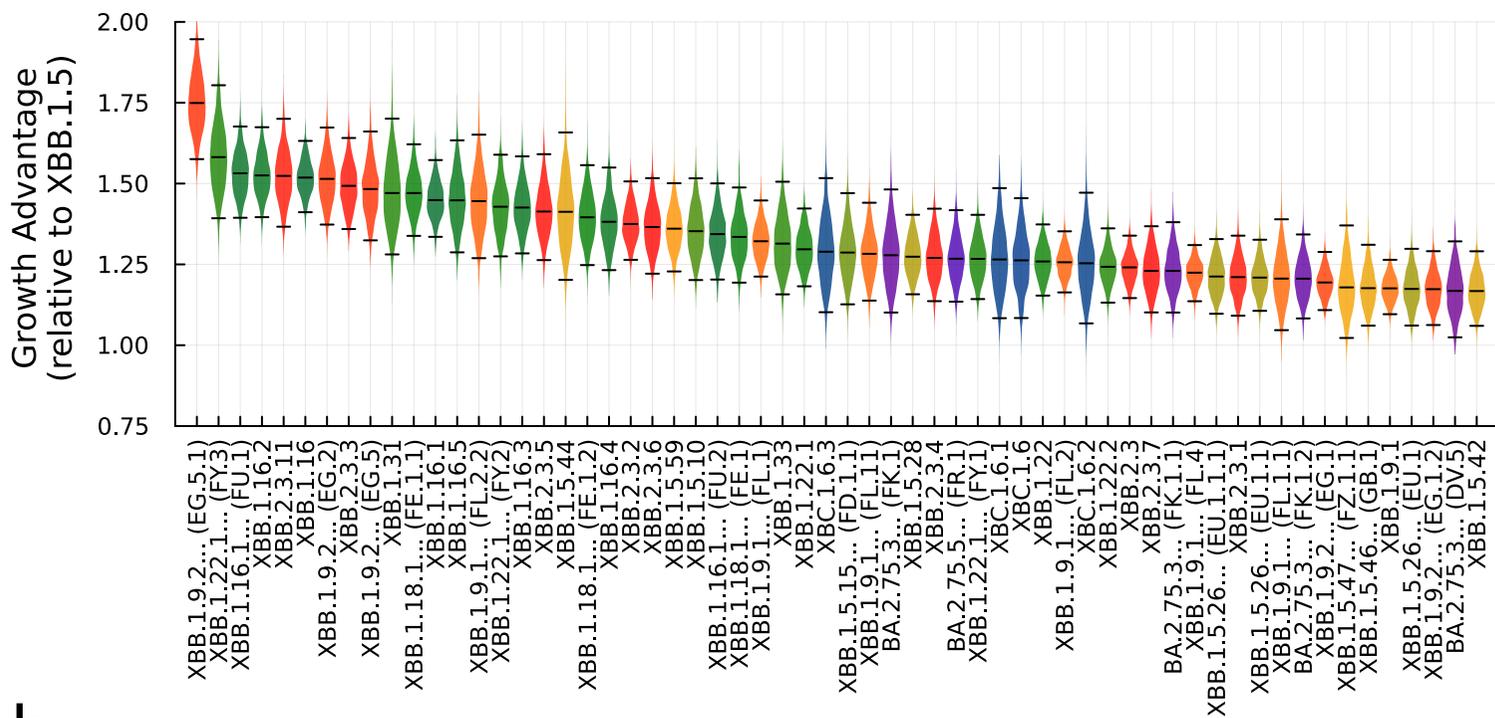
Who, where and how?



Example of Alpha/B.1.1.7





a**b**