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- 1 Mobile genetic elements related to the diffusion of plasmid-mediated AmpC β-
- 2 lactamases or carbapenemases from *Enterobacteriaceae*: findings from a multicenter
- 3 study in Spain
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18 **Running title:** Genetic context of plasmid-mediated AmpC β-lactamases or carbapenemases

- 19 in Enterobacteriaceae
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25 ABSTRACT

We examined the genetic context of 74 acquired *ampC* genes and 17 carbapenemase genes 26 from 85 out of 640 Enterobacteriaceae isolates collected in 2009. Using S1-PFGE and 27 Southern hybridization, 37 out of 74 blaAmpC genes were located on large plasmids of different 28 29 sizes belonging to six Inc groups. We used sequencing and PCR mapping to investigate the 30 regions flanking the acquired ampC genes. The $bla_{CMY-2like}$ genes were associated with ISEcp1, the surrounding bla_{DHA} genes were similar to Klebsiella pneumoniae plasmid 31 pTN60013 associated with IS26 and the psp and sap operons, and blaACC-1 genes were 32 associated with IS26 elements inserted into ISEcp1. All the carbapenemase genes (bla_{VIM-1} , 33 two bla_{IMP-22} and bla_{IMP-28}) were located in class 1 integrons. Therefore, although plasmids are 34 the main cause of the rapid dissemination of *ampC* genes among *Enterobacteriaceae*, we need 35 to be aware that other mobile genetic elements, such as insertion sequences, transposons or 36 integrons, can be involved in the mobilization of these genes of chromosomal origin. 37 38 Additionally, three new integrons are described in this study (In846 to In848).

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40 INTRODUCTION

β-lactam resistance in Enterobacteriaceae due to acquired Amp-C β-lactamases (pAmpC) or 41 carbapenemases represents an emerging and increasing problem that limits therapeutic 42 options. pAmpC confer resistance to most β -lactams, except cefepime and carbapenems, 43 whereas carbapenemases, including class A, B and D, can confer resistance to most β -44 45 lactams, including carbapenems. The number of *Enterobacteriaceae* carrying these enzymes is lower than ESBLs-producing isolates, but it has increased over the last few years, 46 particularly the pAmpC CMY-2 and DHA, and carbapenemases NDM, VIM, IMP and OXA-47 48 48 types (1, 2).

Antimicrobial Agents and Chemotherapy Both families of enzymes (pAmpC and carbapenemases) are normally codified in plasmids, and their genes are associated with mobile genetic elements (MGE) such as insertion sequences, transposon-like elements and class 1 integrons. All these MGE can transfer these genes into mobilizable and conjugative plasmids and subsequently disseminate them into many bacterial species that naturally lack these genes (3-5).

As previously described (3), 100,132 *Enterobacteriaceae* isolates were collected from February to July 2009 from 35 Spanish hospitals. Among them, we found a total of 674 *Enterobacteriaceae* with acquired *amp*C and/or carbapenemase genes. The enzyme types found were: CMY-2-like (74.3%), followed by DHA (17.8%), ACC (1.5%), FOX (0.6%), VIM (4.3%) and IMP (1.5%) (3). Although a great genetic diversity among pAmpCproducing strains was observed, some clonal relationships were established between these isolates, mainly in carbapenemase-producing strains (3).

This study aimed to describe the plasmid families and the surrounding regions involved in the
 dissemination of a great diversity of acquired *amp*C and metallo-β-lactamases genes in
 Enterobacteriaceae isolates lacking inducible chromosomal AmpC enzymes.

64

65 MATERIAL AND METHODS

66 **Clinical isolates.** To characterize the plasmids and flanking regions implicated in the 67 expansion of these genes, we selected 85 strains from the collection cited above (3). The 68 selection was made on the basis of prevalence, and strains that produced new enzymes were 69 also included.

PCR-based replicon typing. PCR-based Inc/rep typing (PBRT) was used to identify the
 major Inc groups of the plasmids present (4,6).

Plasmid profiles and Southern blot analysis. Plasmid analysis was carried out by DNA linearization with the S1 enzyme followed by pulsed-field gel electrophoresis (PFGE), as previously described (7). Plasmid sizes were estimated using Fingerprinting II InformatixTM software (Bio-rad)(7). A PCR DIG Probe synthesis kit (Roche Diagnostics GmbH, Mannheim, Germany) was used to obtain *bla*_{AmpC} or Inc probes for hybridization of the S1-PFGE blots. These probes were labelled with the commercial kit (DIG high prime DNA labelling and detection starter kit II (Roche Diagnostics GmbH, Mannheim, Germany).

The chromosomal location of *bla* genes was analysed by digesting the genomic DNA with the ICeuI enzyme, followed by PFGE and hybridization blots, as described above.

Genetic environment characterization of acquired ampC and carbapenemase genes. The 81 genetic context was investigated by exploring the regions surrounding acquired AmpC and 82 83 carbapenemase genes frequently reported in the literature (8-14), employing PCR and sequencing with previously described primers. Additionally, primers designed in accordance 84 with accessible DNA sequences in the GenBank (AY581207, AJ870924, Y11068, AJ971345 85 and EF577408) were used to ascertain the presence of genes linked to the acquired bla_{ampC} 86 and carbapenemase genes (Table S1). Sequencing reactions were performed with the BigDye 87 88 Terminator kit (PE Applied Biosystems, Foster City, CA), and sequences were analyzed on an ABI Prism 3100 DNA sequencer (PE Applied Biosystems). The resulting sequences were 89 then compared with those available at the GenBank (www.ncbi.nih.gov/BLAST). 90

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92 RESULTS

Among the 85 selected strains (66 pAmpC-producing, 13 IMP/VIM-producing, 4 producing both enzymes and 2 strains that produced two pAmpC), we characterized the plasmids and flanking regions of 91 genes, 74 *bla*_{ampC} and 17 *bla*_{IMP/VIM} genes (Table 1).

96 The studied *bla*_{ampC} genes included 40 *bla*_{CMY-2-like}, 22 *bla*_{DHA}, 8 *bla*_{ACC} and 4 *bla*_{FOX}, while

97 the metallo- β -lactamase genes included 14 *bla*_{VIM-1}, 2 *bla*_{IMP-22} and 1 *bla*_{IMP-28}.

Plasmid characterization. Analysis by S1-PFGE and Southern hybridization allowed us to determine the plasmid size for 74.7% (68/91) of the studied genes, leaving 23 genes (25.3%) with a possible chromosomal location (positive hybridization in ICeuI-PFGE). Nevertheless, we were able to describe the incompatibility group by PCR-based replicon (PBRT-PCR) among these 68 plasmidic genes in only 41 cases (60.3%).

We found that 39 out of 74 bla_{AmpC} genes (50%) were located in large plasmids of different 103 sizes belonging to eight Inc groups, including: A/C, FIB, FIIA, I1, K, HI2, N and U. The most 104 representative, present alone or together with other replicons, were: I1 (n=18, one also with 105 FIB), K (n=7; two also with FIB), A/C (n=6), FIIA (2), HI2 (2) and N (2) (Table 1). In 13 out 106 107 of 74 bla_{AmpC} genes (17.5%), the plasmid replicon was not identified (in 10 cases the PBRT-PCR was positive for different replicons, but their hybridization bands did not match the 108 blaAmpC band, and in 3 cases the PBRT-PCR was negative). Finally, in 22 cases (29.7%) a 109 possible chromosomal location of these genes was confirmed by ICeuI-PFGE. 110

The plasmids carrying $bla_{CMY-2-like}$ genes belonged to the following Inc groups: I1 [16/40 (37.5%): sizes ranged from 43.7 to 145.5 kb), K (7/40 (17.5%: sizes ranged from 48.5 to 105.1 kb), and A/C [5/40 (12.5%): sizes ranged from 177.5 to 300.7 kb). In three cases the FIB plasmid was also found to be associated with one IncI1 or two IncK plasmids (Table 1).

Seven out of 22 plasmids carrying bla_{DHA} genes were characterized, with the following Inc groups being found: I1 (9%: sizes 77.6 and 87.3 kb), FIIA (9%: size 76.6 and 218 kb), HI2 (9%: size 291 kb) and A/C (4.5%: 203.7 kb). The remaining 15 cases were not resolved, in 11 cases because no incompatibility group probes hybridized and in four cases because the PBRT-PCR was negative.

120 Only two of the eight plasmids carrying bla_{ACC-1} were identified and they belonged to the

121 IncN group, with sizes varying from 32.5 to 80 kb. *bla*_{FOX-3} genes were found in plasmids of

122 72.5 and 80.5 kb, both of the IncU group, and the bla_{FOX-8} gene (15) was probably located on 123 the chromosome.

Finally, the sizes of the fourteen plasmids carrying the bla_{VIM-1} gene ranged from 48 to 72.5 kb and one of them belonged to the IncU group; bla_{IMP-22} genes were in plasmids of 485 kb with an unidentified Inc group. The bla_{IMP-28} gene was probably located on the chromosome, as previously described (16).

128 Detection of the flanking regions of acquired *ampC* and metallo-β-lactamase genes.

The variable genetic environments detected for the most prevalent enzymes (CMY-2-like,
DHA, ACC and metallo-β-lactamase genes) are shown in Figures 1-3.

The analysis of the genetic environment revealed that bla_{CMY-2-like} genes (bla_{CMY-2}, bla_{CMY-4}, 131 bla_{CMY-7}, bla_{CMY-27}, bla_{CMY-48}, bla_{CMY-54/57}, bla_{CMY-59} and bla_{CMY-60}) were associated with 132 ISEcp1, responsible for the transfer of the *bla*_{CMY-2-like}-*blc-sugE* region from the chromosome 133 of Citrobacter freundii to plasmids (8). In our study, 16 strains contained the ISEcp1 and blc-134 sugE-ecnR upstream and downstream of bla_{CMY-2-like} genes, respectively. However, truncation 135 136 of ISEcp1(Δ ISEcp1) was observed in 8 strains: four at the 3'end and four at the 5'end. In the 137 former, primers described to explore this region (ISEcp1/CMY2Ri) (Table S1) amplified a product of 1,560 bp instead of the expected 2,160 bp. In the latter, the amplicons were not 138 139 obtained using ISEcp1/CMY2Ri primers and we required a new pair of primers 140 (TnpA1L/CMY2Ri). Finally, twelve strains did not contain ISEcp1 upstream, and in six strains the region downstream of the *bla*_{CMY-2like} gene could not be amplified by PCR with the 141 primers used. Only in two strains, with complete *bla*_{CMY-2-like} gene, the genetic environment 142 143 was unknown (Figure 1).

The surrounding regions of *bla*_{DHA} genes (*bla*_{DHA-1}, *bla*_{DHA-6} and *bla*_{DHA-7}) were similar to those previously described in *Klebsiella pneumoniae* plasmid pTN60013 (AJ971345) (5), although a certain variability was detected, in accordance with the literature data (11,17). This variability mainly concerned the absence or presence of *sapB*, *sapA* and *sdr* genes (Figure 2). The quinolone resistance determinant *qnrB4* and additional *aadA1* (streptomycin and spectinomycin resistance) genes were detected in most of the strains. This linkage between *bla*_{DHA-1} and *qnrB4* genes has been previously described in isolates of *K. pneumoniae* (11).

In the environment of the bla_{ACC} gene, IS*Ecp1* and *gdhA* gene were detected upstream and downstream, respectively. In all cases, IS*Ecp1* was truncated in the 5'(13). Six out of eight *bla*_{ACC} genes showed two IS26 copies in the same orientation; one of these strains contained a truncated 5' *gdh*A and one contained a *tnpR* gene of Tn5393 upstream of the *gdhA* gene.

Four bla_{FOX} genes, bla_{FOX-3} (n=2) and bla_{FOX-8} (n=2), were located in a class I integron, at the 5' of the integrase *intII*, and several attempts to identify the 3 'end by PCR were unsuccessful. All the metallo- β -lactamase genes (14 bla_{VIM-1} , 2 bla_{IMP-22} and 1 bla_{IMP-28}) were located in class 1 integrons. In this study, we detected five different structures harbouring bla_{VIM} genes (Figure 3), with *In*846 (GenBank accession number KC417378), *In*847 (KC417379) and *In*848 (KC417377) being described for the first time.

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162 DISCUSSION

We have characterized the genetic context of the largest available collection of acquired AmpC β -lactamases and metallo- β -lactamases in *Enterobacteriaceae* lacking inducible chromosomal AmpC enzymes, recovered during 2009 from 35 Spanish hospitals (3).

Several authors have related the spread of different acquired AmpC genes with the expansion of plasmids of certain incompatibility groups (1, 2, 4,5,7,18-21). In this context, the bla_{CMY-2} gene is associated with plasmids of I1, A/C, and K incompatibility groups (7, 18-21). Our results match these data, but differences were found in the percentage of each incompatibility group. In a previous study (7), carried out during 1999-2007, A/C was the most predominant incompatibility group found (33%) among plasmids carrying bla_{CMY-2} , followed by I1 (23%)

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and K (10%). In this study (with strains isolated in 2009), the most prevalent incompatibility 172 group was I1 (40%), followed by K (17.5%) and A/C (12.5%). The fact that different Inc 173 plasmids have been found to carry the same resistance gene is an indication of a successful 174 and widespread distribution; moreover, this variability contributes to the genetic environment 175 176 of these genes (20). The IncA/C and IncI1 are considered to be epidemic plasmids, because 177 they are found in different countries, in bacteria of diverse origin and carrying a range of resistance mechanisms (4). IncA/C plasmids have been described carrying ESBLs TEM-type 178 or VEB, as well as NDM-1 carbapenemase. On the other hand, IncI1 has an efficient 179 conjugative system that could also contribute to the dissemination of different resistance 180 181 mechanisms, such as ESBLs CTX-M-type and TEM-type (4).

The genetic environment of bla_{CMY-2} and its variants was highly conserved. 60% of isolates carried the transposon-like elements IS*Ecp1*(IS*Ecp1*/ Δ IS*Ecp1*-bla_{CMY}-blc-sugE), as documented in previous reports (8,10,18). As these bla_{CMY-2} -derived bla_{CMY} genes differ from one other by only a few nucleotide substitutions, it is possible that these differences could have evolved within the same Inc plasmid (I1) (20). The genes, bla_{CMY-55} and bla_{CMY-56} , were found in the A/C plasmid, and the bla_{CMY-54} gene in a K plasmid, in this case cointegrated with FIB.

bla_{DHA-1} genes were initially associated with IncFII plasmids (20), but recent studies link them 189 190 with IncL/M plasmids and qnrB determinants (5,7). Among our DHA-producing strains, 19 showed the qnrB4 determinant (data not shown) and none were associated with the IncL/M 191 plasmids. In fact, we were only able to characterize the plasmid in seven cases (38.8%), with 192 193 I2, FIIA and HI2 being the incompatibility groups found. The genetic organization of bla_{DHA} 194 genes was more variable. Mobilization of this enzyme has been associated with IS26 or class 195 1 integron-bearing ISCR1 elements (11,18). Among bla_{DHA}-carrying isolates, 86% were 196 associated with IS26.

In the literature, characterization of plasmids carrying bla_{ACC-1} genes is scarce. In a previous study, a bla_{ACC-1} gene in an *Escherichia coli* strain was found in an IncI1 plasmid (7), but other authors could not type it (21). Regarding the genetic context of bla_{ACC-1} genes, an IS*Ecp1*element truncated at the 5'end with an IS26 insertion sequence was found in all of our bla_{ACC-1} -carrying isolates, as described in previous reports (12,13).

 $bla_{\rm FOX}$ and all carbapenemases detected in this study, including previously undescribed structures ($bla_{\rm FOX}$), were located in a class 1 integron, and present in the most recent IncU plasmids.

There is little data on the types of plasmids involved in the spread of metallo- β -lactamases. In the literature, *bla*_{IMP} and *bla*_{VIM} genes are described in plasmids of incompatibility groups I1, N, W and HI2 (4). In this study, the *bla*_{IMP-22} gene was located in a 485kb plasmid of an uncharacterised incompatibility group, and two *bla*_{VIM-1} genes were found in IncU plasmids, curiously both isolated from different species but in the same hospital. Finally, the location of the *bla*_{IMP-28} gene seems to be chromosomal, as *bla*_{IMP-28} positive hybridization was found in the PFGE-ICeuI membrane.

Accordingly, the high number of unidentified replicons could be associated with plasmids other than those tested or, alternatively, they could be associated with one of the tested plasmids, albeit with some genetic variability, as has been described for the carbapenemase NDM in plasmids with a variant of the IncN or IncHI1 groups (4).

In conclusion, although plasmids have proven to be one of the main causes of the rapid dissemination of bla_{AmpC} and carbapenemase genes among bacteria, other MGE must play an important role in the increasing prevalence of these enzymes. Further studies, focused not only on plasmids but also on other MGE, such as insertion sequences, transposons or ICEs, are needed to gain a better understanding of the complex process involved in the dissemination of antibiotic resistance genes worldwide. Accepted Manuscript Posted Online

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300 Figure legend

Figure 1. The genetic environment of $bla_{CMY-2like}$ and bla_{ACC} genes, which are represented by solid black arrows, while the surrounding genes are represented by white arrows. The discontinued lines represent the areas that could not be amplified by PCR. Eight isolates indicate truncated versions of IS*Ecp1* at 3' (pattern A.1) and 5' end (pattern A.2). Truncated genes are represented by disrupted arrows. One isolate (pattern C) carrying the ACC gene showed an identical structure to AJ870924. In one isolate (pattern D), IS26 was truncated by a *tnpR* gene of insertion Tn5393. The primers used for PCR amplification are also shown.

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Figure 2. The genetic environment of the bla_{DHA} gene, which is represented by solid black arrows, while the surrounding genes are represented by white arrows. Continuous lines indicate an absence of the corresponding DNA fragments.

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Figure 3. Structure of bla_{VIM-1} , bla_{IMP-22} and bla_{IMP-28} genes carrying the integrons described in this work. Carbapenemase genes are represented by solid black arrows and the surrounding genes are represented by white arrows The locations of the primers used for PCR amplification are also shown.

niae (1); E. coli (1) P. mirabilis (1) niae (1) s (1) niae (1) niae (2); s (1) 1); E. coli (4) K.pneumoniae (1) K. oxytoca (1)
P. mirabilis (1) niae (1) s (1) niae (1) niae (2); s (1) 1); E. coli (4) K.pneumoniae (1) K. oxytoca (1)
niae (1) s (1) niae (1) niae (2); s (1) 1); E. coli (4) K.pneumoniae (1) K. oxytoca (1)
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niae (1)
s (3); niae (1);
<i>K. pneumoniae</i> (1)
niae (1)
niae (1)
niae (1)
s (1)
l); E. coli (1); niae (2)
niae (1)
1); E. cloacae (1)
(2)

Table 1. Flanking regions and plasmid families associated with acquired AmpC and
 carbapenemases in *Enterobacteriaceae*

		77.6	I1	<i>E. coli</i> (1)
	DHA-1(C)	Chromosomal		P. mirabilis (3)
	DHA-1(D)	72.8	Unidentified	K. oxytoca (1)
	DHA-1(E)	72.8	Unidentified	Salmonella spp. (1)
	DHA-1(F)	87.3	Unidentified	E. coli (1)
	DHA-1(H)	Chromosomal		E. coli (1)
bla _{DHA-6}	DHA-1(G)	87.3	I1	<i>E. coli</i> (1)
$bla_{\text{DHA-1}} + bla_{\text{VIM-1}}$	DHA-1(B) + VIM-1 (D) (<i>In</i> 846)	76.6 kb + Chromosomal	FIIA	K. pneumoniae (1)
$bla_{\text{DHA-7}} + bla_{\text{VIM-1}}$	DHA-1(D) + VIM-1(E) (<i>In</i> 847)	310.4 kb + 48.5 kb	HI2 + Unidentified	E. cloacae (2)
bla _{FOX-3}	FOX(A)	72.5	U	<i>E. coli</i> (1)
bla _{FOX-8}	FOX(A)	Chromosomal		<i>E. coli</i> (2)
bla _{IMP-22}	IMP-22(A)	485.0	Unidentified	K. pneumoniae (2)
bla _{IMP-28}	IMP-28(A) (<i>In</i> 767)	Chromosomal		K. oxytoca (1)
bla _{VIM-1}	VIM-1(A) (In488)	48.0	Unidentified	K. oxytoca (1)
	VIM-1(B) (In624)	48.0 and 66.2	Unidentified	E. cloacae (2); K. oxytoca (2); K. pneumoniae (2)
	VIM-1(C) (In846)	48.0 and 72.5	U	K. pneumoniae (1); E. cloacae (1)
	VIM-1(D) (In848)	48.0	Unidentified	<i>E. coli</i> (1)

a, between brackets the type of surrounding regions found for each *bla* gene. More detailed

data in Figures 1-3.

b, the plasmid size was determined after the hybridisation procedure.



Figure 1. The genetic environment of $bla_{CMY-2like}$ and bla_{ACC} genes, which are represented by solid black arrows, while the surrounding genes are represented by white arrows. The discontinued lines represent the areas that could not be amplified by PCR. Boxes corresponds to *TnpA* genes of each IS. Eight isolates indicate truncated versions of IS*Ecp1* at 3' (pattern A.1) and 5' end (pattern A.2). Truncated genes are represented by disrupted arrows. One isolate (pattern C) carrying the ACC gene showed an identical structure to AJ870924. In one isolate (pattern D), IS26 was truncated by a *tnpR* gene of insertion Tn5393. The primers used for PCR amplification are also shown.



bla_{DHA}

Is26F

 \rightarrow

SapARi SapAR

 $\leftarrow \rightarrow$



qnrB4Ri qnrB4R pspFRi pspFR pspAiR pspAiR \leftarrow

pspDR pspDRi DHA1Ri DHAMR AmprFi AmprF

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Figure 2. The genetic environment of the bla_{DHA} gene, which is represented by solid black arrows, while the surrounding genes are represented by white arrows. Continuous lines indicate an absence of the corresponding DNA fragments. Boxes corresponds to *TnpA* genes of each IS.

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Figure 3. 3. Structure of *bla*_{VIM-1}, *bla*_{IMP-22} and *bla*_{IMP-28} genes carrying the integrons described in this work. Carbapenemase genes are represented by solid black arrows and the surrounding genes are represented by white arrows The locations of the primers used for PCR amplification are also shown.

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