

1 **Genomic epidemiology of a complex, multi-species plasmid-borne *bla*_{KPC}**
2 **carbapenemase outbreak in Enterobacterales in the UK, 2009-2014**

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38 **ABSTRACT**

39 Carbapenem resistance in Enterobacterales is a public health threat. *Klebsiella*
40 *pneumoniae* carbapenemase (encoded by alleles of the *bla*_{KPC} family) is one of the
41 commonest transmissible carbapenem resistance mechanisms worldwide. The
42 dissemination of *bla*_{KPC} has historically been associated with distinct *K. pneumoniae*
43 lineages (clonal group 258 [CG258]), a particular plasmid family (pKpQIL), and a
44 composite transposon (Tn4401). In the UK, *bla*_{KPC} has caused a large-scale, persistent
45 outbreak focused on hospitals in North-West England. This outbreak has evolved to
46 be polyclonal and poly-species, but the genetic mechanisms underpinning this
47 evolution have not been elucidated in detail; this study used short-read whole genome
48 sequencing of 604 *bla*_{KPC}-positive isolates (Illumina) and long-read assembly
49 (PacBio)/polishing (Illumina) of 21 isolates for characterisation. We observed the
50 dissemination of *bla*_{KPC} (predominantly *bla*_{KPC-2}; 573/604 [95%] isolates) across eight
51 species and more than 100 known sequence types. Although there was some variation
52 at the transposon level (mostly Tn4401a, 584/604 (97%) isolates; predominantly with
53 ATTGA-ATTGA target site duplications, 465/604 [77%] isolates), *bla*_{KPC} spread
54 appears to have been supported by highly fluid, modular exchange of larger genetic
55 segments amongst plasmid populations dominated by IncFIB (580/604 isolates),
56 IncFII (545/604 isolates) and IncR replicons (252/604 isolates). The subset of
57 reconstructed plasmid sequences also highlighted modular exchange amongst non-
58 *bla*_{KPC} and *bla*_{KPC} plasmids, and the common presence of multiple replicons within
59 *bla*_{KPC} plasmid structures (>60%). The substantial genomic plasticity observed has
60 important implications for our understanding of the epidemiology of transmissible
61 carbapenem resistance in Enterobacterales, for the implementation of adequate
62 surveillance approaches, and for control.

63 **IMPORTANCE**

64 Antimicrobial resistance is a major threat to the management of infections, and
65 resistance to carbapenems, one of the “last line” antibiotics available for managing
66 drug-resistant infections, is a significant problem. This study used large-scale whole
67 genome sequencing over a five-year period in the UK to highlight the complexity of
68 genetic structures facilitating the spread of an important carbapenem resistance gene
69 (*bla_{KPC}*) amongst a number of bacterial species that cause disease in humans. In
70 contrast to a recent pan-European study from 2012-2013(1), which demonstrated the
71 major role of spread of clonal *bla_{KPC}-Klebsiella pneumoniae* lineages in continental
72 Europe, our study highlights the substantial plasticity in genetic mechanisms
73 underpinning the dissemination of *bla_{KPC}*. This genetic flux has important
74 implications for: the surveillance of drug resistance (i.e. making surveillance more
75 difficult); detection of outbreaks and tracking hospital transmission; generalizability
76 of surveillance findings over time and for different regions; and for the
77 implementation and evaluation of control interventions.

78 **INTRODUCTION**

79 Antimicrobial resistance (AMR) in Enterobacterales is a critical public health threat.

80 Carbapenem resistance is of particular concern, and outbreaks involving multiple

81 species of carbapenemase-producing Enterobacterales (CPE) are increasingly

82 reported(2-5). Exchange of AMR genes, including carbapenem resistance genes,

83 happens at multiple genetic levels(6), and is often facilitated by their presence on

84 plasmids [circular DNA structures of variable size (2kb~>1Mb)], and/or other smaller

85 mobile genetic elements (MGEs) such as transposons and insertion sequences (IS),

86 that form part of the accessory genome.

87

88 Whole genome sequencing (WGS) has significantly improved our understanding of

89 infectious diseases epidemiology and is used in both community-associated and

90 nosocomial transmission analyses(7, 8). Although useful for delineating transmission

91 routes in clonal, strain-based outbreaks, standard phylogenetic approaches and

92 comparative analyses have been more difficult for outbreaks involving multiple

93 bacterial strains/species and transmissible resistance genes(6). Reconstruction of the

94 genetic structures of plasmids carrying relevant antimicrobial resistance genes using

95 long-read sequencing has improved our understanding of the genetic complexity of

96 these resistance gene outbreaks, but has been difficult to undertake on a large scale.

97

98 Although approximately 40 *Klebsiella pneumoniae* carbapenemase (KPC; encoded by

99 *bla_{KPC}*) variants have now been described (as per NCBI's AMR reference gene

100 catalogue, available at <https://www.ncbi.nlm.nih.gov/pathogens/isolates#/refgene/>),

101 only two have been most widely reported globally, namely KPC-2 and KPC-3

102 (H272Y with respect to KPC-2; single nucleotide difference in *bla_{KPC}* [C814T])(9),

103 10). In the UK, the first KPC isolate identified was a KPC-4-containing *Enterobacter*
104 sp. isolated in Scotland in 2003(11), with subsequent identification of KPC-3 in
105 isolates in the UK in 2007. From 2007, increasing numbers of suspected KPC isolates
106 were referred to Public Health England (PHE's) Antimicrobial Resistance and
107 Healthcare Associated Infections (AMRHAI) Reference Unit, with the majority of
108 confirmed KPC-producers (>95%) coming from an evolving KPC-2-associated
109 outbreak in hospitals in North-West England, first recognised in 2008(12). These
110 isolates were predominantly *bla*_{KPC}-positive Enterobacterales cultured from patients
111 in the Central Manchester University Hospitals NHS Foundation Trust (CMFT; now
112 part of Manchester University NHS Foundation Trust)(13). *bla*_{KPC} is thought to have
113 been introduced into the region via a pKpQIL-like plasmid(14, 15), a plasmid
114 backbone previously associated with the global dissemination of *bla*_{KPC} in *K.*
115 *pneumoniae* clonal group 258, and already observed in other *K. pneumoniae* sequence
116 types (STs) and species in an analysis of 44 UK KPC-Enterobacterales from 2008-
117 2010(15).

118

119 We used WGS to undertake a large-scale retrospective study of this multi-species,
120 polyclonal, *bla*_{KPC} outbreak in North-West England from 2009, generating complete
121 genome structures, including *bla*_{KPC} plasmids, for a subset of isolates. We
122 contextualised our analysis of regional outbreak strains using isolates from a national
123 *bla*_{KPC} surveillance programme, with the goal of understanding the genetic structures
124 associated with the regional emergence of *bla*_{KPC} in this setting.

125

126 **RESULTS**

127 Of 742 isolates identified for sequencing, 60 (8%) were not retrievable or cultivable
128 from the laboratory archives. After de-duplicating by taking the first *bla*_{KPC}-positive
129 Enterobacterales (KPC-E) per patient, and excluding sequencing failures, any
130 sequences without *bla*_{KPC} (assumed lost in culture), and mixtures (identified from
131 genomic data analysis, see Methods), 604 evaluable isolate sequences were included.
132 These included: 327 archived isolates (54%) from inpatients in the early stages of the
133 observed outbreak (2009-2011), of which 309 and 18 isolates were from CMFT and
134 the University Hospital of South Manchester NHS Foundation Trust (UHSM; now
135 part of Manchester University NHS Foundation Trust) respectively; 78 (13%) later
136 isolates from CMFT/UHSM (2012-2014); 119 (20%) isolates from other hospitals
137 (n=15 hospitals) in North-West England (2009-2014, excluding CMFT and UHSM,
138 up to the first 25 consecutive KPC-E isolates per hospital); 72 (12%) isolates from
139 UK and Republic of Ireland hospitals (n=72 locations [n=4 from the Republic of
140 Ireland]) outside the North-West (2009-2014) (first KPC-E isolate per hospital); and 8
141 (1%) isolates from English outpatient/primary care settings.

142
143 Although three *bla*_{KPC} variants were observed in the 604 included isolates, *bla*_{KPC-2}
144 dominated (n=573, 95%); *bla*_{KPC-3} [n=27, 4%] and *bla*_{KPC-4} [n=4, 1%] were also
145 observed. Two isolates (0.3%; trace524, trace534) showed evidence of mixed
146 populations of *bla*_{KPC-2} and *bla*_{KPC-3}. The median *bla*_{KPC} copy number estimate was 1.8
147 (IQR: 1.6-2.1), with a maximum of 8.2. Across the three main species, *bla*_{KPC} copy
148 numbers were higher in *K. pneumoniae* (n=525 [87%], median 1.8 [IQR: 1.6-2.1]),
149 than *E. coli* (40 [7%]: 1.7 [1.5-1.9]) or *E. cloacae* (26 [4%], 1.6 [1.4-2.0]) (Kruskal-
150 Wallis; p=0.0003; Fig.1A). Amongst common STs, copy number was highest in *K.*

151 *pneumoniae* ST258 (n=65 [11%], median 2.4 [IQR: 1.8-2.9]) versus other species/STs
152 (n=531 [89%], median 1.8 [1.6, 2.0]) (Kruskal-Wallis; p=0.0001; Fig.1B, Fig.S1).

153

154 Other broad or extended-spectrum beta-lactamase genes were also commonly present
155 across isolates, including: *bla*_{TEM} (n=452, all *bla*_{TEM-1}), *bla*_{OXA} (n=492; Δ *bla*_{OXA-9}
156 [n=425], *bla*_{OXA-1} [n=138]), *bla*_{SHV} (n=497) and *bla*_{CTX-M} (n=89; *bla*_{CTX-M-15} [n=57],
157 *bla*_{CTX-M-9} [n=28]). Aminoglycoside resistance genes were also widely prevalent: *aac*
158 (n=243), *aph* (n=196), *ant* (n=93) and *aadA* (n=280). In terms of acquired quinolone
159 resistance, 160 isolates contained *qnr* variants, and 137 isolates contained *aac(6')-Ib-*
160 *cr*; no *qep* variants were seen.

161

162 Insertion sequences (ISs) have been shown to be key in the reshaping and
163 streamlining of bacterial genomes, as well as exerting more subtle effects in the
164 regulation of gene expression(16). The median number of different IS types in isolates
165 was 15 (IQR: 13-16), with a maximum of 32. Four hundred distinct IS profiles were
166 identified amongst the 604 isolates, with only five identical profiles shared amongst
167 ≥ 10 isolates - these included a distinct profile seen only in national *K. pneumoniae*
168 ST258 isolates (*IS1F*, *IS1R*, *IS3000*, *IS6100*, *IS903B*, *ISEcl1*, *ISKpn1*, *ISKpn14*,
169 *ISKpn18*, *ISKpn25*, *ISKpn26*, *ISKpn28*, *ISKpn31*, *ISKpn6*, *ISKpn7*), and other unique
170 profiles seen in small groups of *K. pneumoniae* ST588, ST11, ST321 and ST54. This
171 highlights the significant flux of small mobile genetic elements within and between
172 lineages in our dataset.

173

174 *Tn4401* is a ~10kb transposon that has been the major transposable context for *bla*_{KPC}
175 to date(17, 18). A predominant *Tn4401* isoform was associated with both *bla*_{KPC-2} and

176 *bla*_{KPC-3} in this study, namely Tn4401a(17), which occurred in 584/604 (97%)
177 isolates. Other known variants included Tn4401b (n=7) and Tn4401d (n=3). Only
178 20/584 (3%) isolates demonstrated evidence of SNV-level variation in Tn4401a
179 (homozygous calls at 6 positions; heterozygous calls [i.e. mixed populations] at 3
180 positions). *bla*_{KPC-2}-Tn4401a (n=539 isolates) was predominantly flanked by a 5-bp
181 target site duplication (TSD) ATTGA, with 465/604 (77%; 465/539 [86%] of this
182 sub-type) isolates with this Tn4401/TSD combination (Fig.2A). In 74 other *bla*_{KPC-2}-
183 Tn4401a isolates, the Tn4401a was flanked by other target site sequence (TSS)
184 combinations, consistent with additional transposition events. Thirty-two of these
185 were TSDs (16 AATAT-AATAT, 16 AGTTG-AGTTG), which have been described
186 as more consistent with inter-plasmid transposition of Tn4401(19), and 35 were non-
187 duplicate TSS combinations (ATTGA with either ATATA, TGGTA, CTGCC,
188 AATAA, AGGAT), described as more consistent with intra-plasmid transposition.
189 Evidence of multiple TSSs around *bla*_{KPC-2}-Tn4401a within single isolates was seen
190 in 6 cases (i.e. multiple right and/or left Tn4401 TSSs); 1 case had a right TSS
191 present, but no left TSS identified.
192
193 The 604 isolates contained 91 unique combinations of plasmid Inc types (a crude
194 proxy of plasmid populations present); no isolate was replicon negative. However,
195 there were seven predominant combinations (Fig.2B) represented in 443/604 (73%)
196 isolates, and these included six major Inc types, namely IncF (FIB [found in n=580
197 isolates], FII [n=545]), FIA (n=103), IncR (n=252), ColRNAI (n=86), and IncX3
198 (n=60). For many of the plasmid families, several different reference replicon
199 sequences exist in the PlasmidFinder database, with a degree of homology amongst
200 sequences in the same family, making it difficult to establish exactly which exact sub-

201 type of replicon is present. However, restricting to 100% matches to reference
202 replicon types for these common families, top matches included:
203 IncFIB(pQil)_JN233705 (n=300) and IncFIB(K)_1_Kpn3_JN233704 (n=107);
204 ColRNAI_1_DQ298019 (n=84); IncR_1_DQ449578 (n=70); and
205 IncFII_1_pKP91_CP000966 (n=62; plasmid MLST IncFII_{K4}),
206 IncFII(K)_1_CP000648 (n=51; plasmid MLST IncFII_{K1}) and IncFII_1_AY458016
207 (n=19; plasmid MLST IncFII_{K2}).

208

209 Species and lineage diversity in the outbreak was substantial, with eight different
210 species amongst sequenced isolates, and many different known STs, including: *K.*
211 *pneumoniae* (n=525 isolates, 70 known STs), *E. coli* (n=40, 20 known STs),
212 *Enterobacter cloacae* (n=26, 9 known STs), *Klebsiella oxytoca* (n=6, 3 known STs),
213 *Raoultella ornithinolytica* (n=4), *Enterobacter aerogenes* (n=2), *Serratia marcescens*
214 (n=1) and *Kluyvera ascorbata* (n=1). The most common STs were all *K. pneumoniae*,
215 including ST258 (n=66), ST11 (n=35), ST491 (n=31), ST1162 (n=29) and ST54
216 (n=27) (Fig.2C). Therefore, although some of the earliest sequenced isolates were
217 KPC-*K. pneumoniae* ST258 and ST11 (both in 2009) [two major KPC strains from
218 CG258 circulating globally and in China at the time(9, 20)] and although KPC-
219 producing *K. pneumoniae* ST258 appears to have been one of the earliest strains
220 observed in CMFT and UHSM, multiple diverse STs and species were subsequently
221 rapidly recruited to the outbreak in 2010 and 2011. This was most likely by the
222 widespread sharing of a *bla*_{KPC-2}-Tn4401a-ATTGA-ATTGA transposon within and
223 between IncFIB, IncFII and IncR plasmid populations (Fig.2B, 2C).

224

225 *Long-read sequencing analyses*

226 In addition to short-read data, to resolve genetic structures fully we obtained long-
227 read PacBio data for 23 isolates, chosen to maximise the *bla*_{KPC} plasmid diversity
228 assayed and focussing on isolates collected from the two main Manchester hospitals
229 (12 CMFT isolates, 5 UHSM; plus 2 from other hospitals in North-West England, 4
230 from other UK locations). These included the two presumed earliest *bla*_{KPC} isolates
231 from both CMFT and UHSM, as well as isolates sharing the same species/ST but with
232 different plasmid replicon combinations or from North West regional versus national
233 locations, same-species isolates with different STs, and isolates of different species.
234 One PacBio sequencing dataset represented a clear isolate mixture (trace597 [UHSM]
235 of *E. cloacae* ST133 and *K. pneumoniae* ST258), and for one isolate (trace457
236 [CMFT]), there were discrepancies between the short-read and long-read sequencing
237 datasets, suggesting a laboratory error (*E. cloacae* ST45 long-read, *E. coli* ST88
238 short-read). These two assemblies were excluded, leaving 21 assemblies for further
239 analysis (Table S1).

240

241 Of the 153 contigs from these 21 assemblies, 30 were clearly chromosomal, 77
242 plasmid, one chromosomal with an integrated plasmid, and 45 with unclear
243 provenance (i.e. possibly phage, plasmid, or chromosomal). Overall 78/153 [51%]
244 contigs were circularised, including 56/77 [73%] clear plasmid sequences. Thirty-one
245 contigs (21 (68%) circularised) harboured *bla*_{KPC}, of which one (trace552, *K.*
246 *pneumoniae* ST11) had *bla*_{KPC} integrated into the chromosome. Four isolates had
247 multiple copies of *bla*_{KPC} (trace205 [*K. pneumoniae*, ST468; 2 copies, 1 contig],
248 trace457 [*E. cloacae*, ST45; 5 copies [1 truncated], 2 contigs], trace75 [*K.*
249 *pneumoniae*, ST252; 2 copies, 2 contigs], trace149 [9 copies, 9 contigs]). Trace149
250 (*E. coli*, ST1642), which had nine copies of *bla*_{KPC}, had one copy each on: a long,

251 incomplete *bla*_{KPC} contig (203kb), seven nearly identical complete *bla*_{KPC}-containing
252 circularised sequences of size ~10kb (possibly representing circularised translocatable
253 intermediates(21)), and a short linear *bla*_{KPC} contig (~18kb).

254

255 We observed *bla*_{KPC} in multiple plasmid backgrounds (Fig.3), including a majority of
256 *bla*_{KPC} plasmids with multiple replicons (13/21 [60%] clear plasmid contigs, as
257 represented in Fig.3), particularly with IncFIB/IncFII and/or IncR, consistent with
258 replicon patterns in the isolates overall (Fig.2). For the IncFII group, for which we
259 had 17 plasmid sequences with an IncFII(K)_CP000648-like replicon (plasmidFinder
260 match; 5 *bla*_{KPC}-negative [i.e. not represented in Fig.3] and 12 *bla*_{KPC}-positive), there
261 was evidence of significant exchange and rearrangement of plasmid components
262 between both *bla*_{KPC}-positive and *bla*_{KPC}-negative plasmids, integration of IncFII_K and
263 IncR plasmids, and gene duplication events of Tn4401/*bla*_{KPC}, as well as sharing
264 between STs and species (Fig.4).

265

266 In addition to their plasticity, part of the success of these *bla*_{KPC} plasmids may also be
267 attributable to the presence of toxin-antitoxin plasmid addiction systems (*ccdA/ccdB*
268 n=4 *bla*_{KPC} plasmids; *higA* n=6; *vapB/vapC* n=11); anti-restriction mechanisms (*klcA*
269 n=16, previously shown to promote *bla*_{KPC} dissemination(22)); and heavy metal
270 resistance (*terB* [tellurite] n=3; *ars* operon [arsenicals] n=3; chromate resistance n=1;
271 *cop* operon/*pcoC/pcoE* [copper] n=7; *mer* operon [mercury] n=10).

272

273 *bla*_{KPC} plasmid typing

274 Attempts to identify complete plasmids (as opposed to plasmid replicon typing) from
275 short-read data by comparison to a reference plasmid database has been estimated as

276 being correct in only ~45%-85% of cases in previous studies(6, 23). However, 13/14
277 (93%) of isolates for which we had hybrid assemblies with only one completely
278 reconstructed *bla*_{KPC} plasmid had the correct top match using our *bla*_{KPC} plasmid
279 typing method (Table S2). Noting that any complete plasmid typing approach from
280 short-read data is sub-optimal, we compared all short-read sequences with our
281 reference *bla*_{KPC} plasmid database (see Methods); matches to one or more reference
282 *bla*_{KPC} plasmid sequences were identified in 554/604 (92%) isolates. Filtering the
283 single match with the highest score at the predefined ≥ 0.80 threshold left a subset of
284 428/554 (77%) for evaluation. These 428 isolates had matches to 12 *bla*_{KPC} plasmid
285 clusters.

286

287 Based on classification by these top plasmid-cluster matches, *bla*_{KPC} plasmid clusters
288 were shared across a median (IQR) of 3 (1-6) STs, with pKpQIL-like plasmids being
289 most widespread across species/STs (7 species, 75 STs), and clearly playing a major
290 role in the North-West England outbreak, as well as being spread regionally and
291 nationally (Fig.5). Other plasmid types identified as top-matches across the entire
292 dataset included those fully resolved by long-read sequencing performed within this
293 study, some of which were seen in $\geq 5\%$ of study isolates (e.g. pKPC-trace75 [a non-
294 typeable replicon]), and in non-North-West settings, likely reflecting recombination
295 and generation of new *bla*_{KPC} plasmid variants in North-West England and their
296 subsequent dissemination.

297

298 **DISCUSSION**

299 We present the largest WGS-based analysis of *bla*_{KPC}-positive isolates (n=604) to our
300 knowledge, focused on assessing genetic diversity around the carbapenemase gene

301 itself rather than limiting the analysis based on species type, and incorporating a
302 sampling frame from UK regional and national collections, over five years. *bla*_{KPC}
303 remains one of the three most common carbapenemases observed in the UK,
304 accounting for ~15% of cases referred to the AMRHAI Reference Unit in 2017(24),
305 and presenting a significant challenge to hospitals in North-West England, including
306 Manchester, where it accounted for >97% of carbapenem resistance through
307 2015(25).

308

309 Our study provides an interesting context in which to consider the findings of a
310 recently published pan-European survey of carbapenem non-susceptible *K.*
311 *pneumoniae* (the EuSCAPE study; 6 months, 2013-2014; 244 hospitals, 32
312 countries)(1). In EuSCAPE, 684 carbapenemase-producing *Klebsiella* spp. isolates
313 were Illumina sequenced, and similar to our study, most cases were healthcare-
314 exposed (<2% from outpatients). EuSCAPE carbapenemase-producing isolates were
315 also predominantly *bla*_{KPC} (~45%, n=311 isolates), but mostly *bla*_{KPC-3} (232/311
316 [75%] versus 27/604 [5%] in our study), and ST258/ST512 (226/311 [73%] versus
317 107/525 (20%) of *K. pneumoniae* overall in our study). Based on identifying genetic
318 “nearest-neighbours” in their data, the EuSCAPE team found 51% of *bla*_{KPC}-*K.*
319 *pneumoniae* were most closely related to another isolate from the same hospital. The
320 authors concluded that there was strong geographic structuring of strains, and that the
321 expansion of a handful of clonal lineages was predominantly responsible for the
322 spread of carbapenemases in *K. pneumoniae* in Europe, with onward nosocomial
323 transmission. Like *bla*_{KPC-3} in EuSCAPE, *bla*_{KPC-2} has also been linked with the clonal
324 expansion of ST258 in Australia(26), where 48% of 176 *K. pneumoniae* isolates
325 sequenced were *bla*_{KPC-2}-containing ST258.

326

327 However, instead of clonal expansion, in our study we found rapid dissemination of
328 mobile backgrounds supporting *bla*_{KPC-2}, similar to observations from sequencing of
329 other polyclonal *bla*_{KPC} outbreaks reported elsewhere, including the US(6, 27).
330 Tn4401a, associated with high levels of *bla*_{KPC} expression(28), has been previously
331 predominantly seen in *K. pneumoniae*, and in isolates from the US, Israel and Italy,
332 and similarly most commonly with an ATTGA-ATTGA TSD(10). Thus our findings
333 are consistent with the importation of the predominant *bla*_{KPC-2}-Tn4401a-ATTGA-
334 ATTGA motif into CMFT/North-West England and subsequent horizontal spread.
335 Notably, as in EuSCAPE, 46/72 (64%) singleton isolates we sampled from UK
336 hospitals were also CG258, but our detailed sampling within a region reflected a very
337 different molecular epidemiology. Although the EuSCAPE study is large and
338 impressive, its breadth may have been limiting in understanding regional diversity -
339 for example, the subset of *bla*_{KPC}-*K. pneumoniae* from the UK that were analysed in
340 EuSCAPE consisted of 11 isolates submitted from six centres
341 (https://microreact.org/project/EuSCAPE_UK). The focus was also more on analysing
342 species-specific clonal relationships, with no analysis of other species or MGEs.

343

344 Although in our study diversification occurred at all genetic levels (Tn4401+TSSs,
345 plasmids, plasmid populations, strains, species), there was more limited variation
346 observed within the transposon and its flanking regions, and the spread of *bla*_{KPC}
347 appears to have been supported by highly plastic modular exchange of larger genetic
348 segments within a distinct plasmid population, particularly IncFIB/IncFII (found in
349 580 and 545 of the 604 isolates respectively) and IncR replicons (252/604 isolates). A
350 previous study, in which 11 transformed *bla*_{KPC} plasmids from the UK (2008-2010)

351 were sequenced (Roche 454/assembly, PCR+sequencing based gap closure),
352 identified a UK variant of the pKpQIL plasmid, designated pKpQIL-UK (IncFII_{K2} by
353 plasmid MLST), that was highly similar to pKpQIL (maximum 32 SNVs diversity),
354 and several other IncFII_{K2} pKpQIL-like plasmids, but with novel segmental genetic
355 rearrangements (gains/losses; pKpQIL-D1, pKpQIL-D2)(15). Our data support the
356 importance of IncFII_{K2}-like plasmids in this *bla*_{KPC} outbreak too, but also that other
357 IncFII_K-like plasmids (e.g. IncFII_{-K1, -K4, -K7, -K15}) and replicons (IncFIB, IncR) have
358 also been a significant feature. In addition to their plasticity, the plasmids identified
359 frequently harboured AMR genes other than *bla*_{KPC} which might offer a selective
360 advantage, alongside heavy metal resistance genes, and plasmid toxin-antitoxin
361 addiction systems. The plasticity and association of IncFII_K plasmids with resistance
362 genes and IncFIB replicons has been supported by findings of a recent analysis of
363 IncFII_K plasmids(29).

364

365 The problem of accurately classifying plasmid populations from short-read data was
366 exemplified in this analysis, and highlighted by our smaller long-read/short-read
367 hybrid assembly-based analysis, which demonstrated significant diversity within
368 structures assigned as similar by short-read based typing approaches. With this caveat,
369 it was interesting that even with relatively relaxed thresholds, 29% of isolates did not
370 have a match to our reference *bla*_{KPC} plasmid database (based on clustering of all
371 publicly available reference sequences, as in Methods), consistent with rapid
372 diversification in the genetic background of Tn4401/*bla*_{KPC} elements in this setting.

373

374 Our findings demonstrated that it is also important to consider plasmids without the
375 resistance gene of interest in a population, as these may be relevant to a wider

376 understanding of the transmission and evolution of smaller mobile genetic elements
377 harbouring resistance genes (Fig.4). This was also shown to be relevant in a previous
378 analysis of a large KPC-*E. coli* outbreak in the same setting in 2015-2016, in which a
379 circulating *bla*_{KPC}-negative plasmid, pCAD3 (IncFIB/FII), acquired Tn4401 from a
380 IncHI2/HI2A *bla*_{KPC}-positive plasmid, and went on to dominate within a clonal *E. coli*
381 lineage(25). Most studies in general however tend to focus on analysing AMR
382 plasmids of interest. Fortunately, long-read sequencing is becoming increasingly low
383 cost and high-throughput, and hybrid assembly is able to reconstruct plasmid
384 sequences in Enterobacterales(30, 31). New developments in large-scale comparative
385 genomics of complete genomes, including plasmid structures, are essential for future
386 large-scale analysis of AMR gene outbreaks.

387

388 There are several limitations to our study. The reconstructed genomes generated using
389 long-read PacBio data remained incomplete (49% of all contigs uncircularised).
390 Improvements in long-read technology and assembly approaches will likely overcome
391 this(30). Our short-read and long-read datasets were generated from the same frozen
392 stocks of isolates, but from separate sub-cultures (because we used the short-read data
393 to inform selection for long-read sequencing); ideally they would have been generated
394 from the same DNA extract. PacBio sequencing library preparation incorporates size
395 selection, and this may have led to short plasmid sequences (<15kb) being lost. Our
396 interpretation of the evolution of backgrounds supporting *bla*_{KPC} was limited by the
397 diversity present, and the inability to capture sequential evolutionary events, even
398 with this large study. Lastly, very limited epidemiological data linked to the isolates
399 were available, meaning that we were unable to ascertain any epidemiological drivers
400 which might be contributing to the enormous heterogeneity of *bla*_{KPC} transmission

401 over apparently short timeframes; the latter finding also precluded the useful
402 application of standard phylogenetic approaches based on identifying variants core to
403 and within species. In addition, the collection of isolates by PHE as part of regional
404 and national surveillance was dictated by referral patterns of isolates from the
405 hospitals surveyed, and we do not have any denominator information on cultures
406 (either *bla*_{KPC}-positive or *bla*_{KPC}-negative) to corroborate details on the robustness of
407 this referral process.

408

409 In conclusion, our large analysis highlights the difficulty and complexity of these
410 outbreaks once important AMR genes have “escaped” the genetic confines of
411 particular mobile genetic elements and bacterial species/lineages, with important
412 implications for surveillance. These include the need to consider multiple bacterial
413 species and plasmids as potential hosts of *bla*_{KPC}, and invest resource in sequencing
414 approaches to adequately reconstruct genetic structures and avoid misinterpreting the
415 molecular epidemiology. It also demonstrates that regional differences in AMR gene
416 epidemiology may be quite marked, which may affect the generalizability of control
417 methods. Finally, it is important to consider the wider genetic background of host
418 strains and plasmids in understanding the evolution and dissemination of important
419 AMR genes, as AMR gene transfer between plasmid backgrounds within bacteria
420 may occur over short timescales, and the interaction of several plasmids (i.e. not just
421 those harbouring the AMR gene of interest at any given time) in a population may be
422 highly relevant to the persistence and dissemination of the AMR gene itself.

423

424 **MATERIAL AND METHODS**

425 *Study isolates and setting*

426 We sequenced archived carbapenem-resistant Enterobacterales isolates from two
427 hospital groups in Manchester (formerly known as CMFT and UHSM), aiming to
428 include all inpatient isolates archived in the early stages of the observed outbreak,
429 2009-2011, and a subset of *bla*_{KPC}-positive Enterobacterales (KPC-E) isolates
430 sequenced as part of regional and national surveillance undertaken by Public Health
431 England (PHE, 2009-2014). The PHE set included: (i) up to the first 25 consecutive
432 KPC-E isolates from any hospital in North-West England (2009-2014) and referred to
433 the PHE reference laboratory (2009-2014); (ii) the first KPC-E isolate from any other
434 hospital in the UK and the Republic of Ireland referred to PHE (2009-2014); and, (iii)
435 any KPC-E isolates from outpatient/primary care settings in the UK referred to PHE
436 (2009-2014).

437

438 Ethical approval was not required as only bacterial isolates were sequenced, and their
439 collection was part of outbreak investigation and management.

440

441 *DNA extraction and sequencing*

442 For short-read Illumina sequencing (HiSeq 2500, 150bp PE reads), DNA was
443 extracted using Quickgene (Fujifilm, Japan), with an additional mechanical lysis step
444 following chemical lysis (FastPrep, MP Biomedicals, USA). Sequencing libraries
445 were constructed using the NEBNext Ultra DNA Sample Prep Master Mix Kit (NEB)
446 with minor modifications and a custom automated protocol on a Biomek FX
447 (Beckman). Ligation of adapters was performed using Illumina Multiplex Adapters,
448 and ligated libraries were size-selected using Ampure magnetic beads (Agencourt).
449 Each library was PCR-enriched with custom primers (Index primer plus dual index
450 PCR primer) (32). Enrichment and adapter extension of each preparation was

451 obtained using 9ul of size-selected library in a 50ul PCR reaction. Reactions were
452 then purified with Ampure beads (Agencourt/Beckman) on a Biomek NXp after 10
453 cycles of amplification (as per Illumina recommendations). Final size distributions of
454 libraries were determined using a Tapestation 1DK system (Agilent/Lab901), and
455 quantified by Qubit fluorometry (ThermoFisher).

456

457 For long-read sequencing (PacBio [n=28]), DNA was extracted using the Qiagen
458 Genomic tip 100/G kit (Qiagen, Netherlands). DNA extracts were initially sheared to
459 an average length of 15kb using g-tubes, as specified by the manufacturer (Covaris).
460 Sheared DNA was used in SMRTbell library preparation, as recommended by the
461 manufacturer. Quantity and quality of the SMRTbell libraries were evaluated using
462 the High Sensitivity dsDNA kit and Qubit Fluorimeter (Thermo Fisher Scientific) and
463 DNA 12000 kit on the 2100 Bioanalyzer (Agilent). To obtain the longest possible
464 SMRTbell libraries for sequencing (as recommended by the manufacturer), a further
465 size selection step was performed using the PippinHT pulsed-field gel electrophoresis
466 system (Sage Science), enriching for the SMRTbell libraries >15kb for loading onto
467 the instrument. Sequencing primer and P6 polymerase were annealed and bound to
468 the SMRTbell libraries, and each library was sequenced using a single SMRT cell on
469 the PacBio RSII sequencing system.

470

471 Sequencing data have been deposited in the NCBI (BioProject Accession:
472 PRJNA564424).

473

474 *Sequence data processing and assembly*

475 We used Kraken(33) to assign species to sequenced isolates. SPAdes(34) v3.6 was
476 used to *de novo* assemble reads (default options; subsequent removal of contigs
477 shorter than 500bp and assembly coverage <2X). Isolates with sequence assemblies
478 >6.5Mb were excluded to ensure that potentially mixed sequences were not included
479 in the analyses. MLST was derived in silico by blasting *de novo* assemblies against
480 publicly available MLST databases for *E. coli*
481 (<http://mlst.warwick.ac.uk/mlst/dbs/Ecoli>), *K. pneumoniae*, *E. cloacae* and *K. oxytoca*
482 (<https://pubmlst.org/>). Isolates with mixed MLST outputs were excluded.
483 Antimicrobial resistance (AMR) genes, plasmid replicon (Inc) types and insertion
484 sequences (IS) were identified using resistType
485 (https://github.com/hangphan/resistType_docker; curated AMR gene database as
486 in(35), plasmid replicon reference sequences from PlasmidFinder(36), ISs from the
487 ISFinder platform(37); $\geq 80\%$ identity used as a threshold). *bla*_{KPC} copy number for
488 each isolate was estimated by dividing coverage of the contig containing *bla*_{KPC} by
489 the average coverage for the assembly. Plasmid MLST for common family types
490 identified in short read data and for resolved genomes (i.e. based on PacBio and Pilon
491 assemblies - see below) was confirmed by 100% sequence matches to reference
492 alleles for families catalogued in the plasmidMLST website
493 (<https://pubmlst.org/plasmid/>; IncA/C, IncHI1/2, IncN).
494
495 PacBio sequencing data were assembled using the HGAP pipeline(38), and polished
496 with the corresponding Illumina datasets using Pilon (version 1.18, default
497 parameters)(39). Chromosomal sequences and plasmid sequences were then manually
498 curated where possible to create complete, closed, circular structures by using
499 BLASTn to identify overlaps at the end of assembled contigs. Those with overlapping

500 ends larger than 1000bp with sequence identity >99% were considered
501 circularised/complete, and trimmed appropriately for resolution. Complete sequences
502 were annotated using PROKKA (version 1.11)(40); annotations were used to
503 determine genes known to encode toxin-antitoxin systems, heavy metal resistance,
504 and anti-restriction mechanisms.

505

506 *Tn4401* typing

507 *Tn4401* typing was performed using TETyper(10), using the *Tn4401*, SNP and
508 structural profile reference files included with the package
509 (<https://github.com/aesheppard/TETyper>; Aug 2019), and a flanking length of 5bp,
510 representative of the known target site signature sequence indicative of *Tn4401*
511 transposition(41).

512

513 *Plasmid database for bla_{KPC} plasmid typing*

514 A reference *bla_{KPC}* plasmid sequence database composed of *bla_{KPC}*-harbouring
515 contigs/plasmids from long-read sequencing of isolates in this study and all complete
516 *bla_{KPC}* plasmids from (42-44) (August 2018) was used for *bla_{KPC}* plasmid typing
517 within this study. To construct this database, all 279/6018 evaluable plasmid
518 sequences carrying *bla_{KPC}* were first compared using *dnadiff*(45) to obtain the
519 pairwise similarity between any two plasmid sequences p_i and p_j . The similarity was
520 defined as a function of their lengths l_i , l_j , and the aligned bases l_{ij} , l_{ji} as reported by:

$$(p_i, p_j) = \frac{1}{2} \left(\frac{l_{ij}}{l_i} + \frac{l_{ji}}{l_j} \right) \times \min \left(\frac{l_i}{l_j}, \frac{l_j}{l_i} \right)$$

521

522 The score was designed to penalise differences in length of the compared sequences,
523 i.e. to make sequences of different lengths proportionately more different. The

524 resulting similarity matrix was used to perform clustering of plasmid sequences using
525 the affinity propagation clustering technique, suitable for graph clustering problems
526 with sparse similarity matrix and uneven cluster size and cluster number(46), and
527 resulted in 34 clusters of 1-43 plasmids per cluster (Table S3). The largest cluster was
528 the set of pKpQIL-like plasmids comprising 43 related sequences. Representative
529 sequences of each *bla*_{KPC} plasmid cluster in this network were chosen randomly, to
530 generate a set (*KPC-pDB*) of plasmids ranging from 7,995bp (NC_022345.1; plasmid
531 pAP-2) to 447,095bp (NZ_CP029436.1; plasmid pKPC_CAV2013) in the final
532 database used for *bla*_{KPC} plasmid typing in this study.

533

534 Subsequently, *bla*_{KPC} plasmid typing for each study isolate sequence was performed
535 as follows: (1) assembled sequences for each isolate were BLASTed (BLASTn)
536 against *KPC-pDB*; (2) any >1kb contig with >90% nucleotide identity and >80% total
537 coverage match to sequences in *KPC-pDB* was retained; (3) for any sequence p_i in
538 *KPC-pDB*, a score s_i was calculated by dividing the total matched bases of all contigs
539 matched to p_i by p_i 's length; and (4) an isolate was assumed to plausibly carry p_i if s_i
540 ≥ 0.80 . An isolate could have several *bla*_{KPC} plasmid matches; we restricted to the top
541 match for each isolate in our analyses.

542

543 *Statistical analysis and data visualisation*

544 Statistical analysis (Kruskal-Wallis testing) was carried out in Stata 14.2. Plots for
545 figures 1, 2, 5 and S1 were generated using ggplot2 in R (version 1.1.463). Figure 4
546 was generated using the GenomeDiagram package(47) in Biopython(48).

547

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556

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567

568 The Transmission of Carbapenemase-producing Enterobacteriaceae (TRACE) study
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576 Gardner, Vicky Watts, A. Sarah Walker, Jimmy Walker, David Wyllie, William
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578
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776

777 **Figure legends**

778 **Figure 1.** Estimated *bla*_{KPC} copy number distributions within major species (Fig.1A),
779 and the top nineteen commonest species/ST combinations (Fig.1B) observed within
780 the study (other ST/species combinations assigned as “Other” or “Other species/ST”
781 respectively). Dots represent estimated copy number for single isolates; boxplots
782 represent median estimated *bla*_{KPC} copy number $\pm 1.58 \cdot \text{IQR} / \sqrt{n}$. Boxplots are
783 ordered by most common species and species/ST categories, left-to-right, except for
784 the “Other”, “Other species/ST”, assigned to the right of the plots. For species
785 assignments, “Kpne” = *Klebsiella pneumoniae*, “Ecol” = *Escherichia coli*, and “Eclo”
786 = *Enterobacter cloacae*.

787

788 **Figure 2.** Incidence plots for 604 isolates included in the analysis. Dots are coloured
789 by location of isolate collection, as defined in Methods. (A) Incidence plot of
790 Tn4401/target site sequence (TSS; categories including ≥ 10 isolates); Tn4401a-1 is
791 *bla*_{KPC-2}/Tn4401a, Tn4401a-2 is *bla*_{KPC-3}/Tn4401a; Tn4401a-unknown comprises a set
792 of Tn4401a (n=18) with mutational variation including C684T, G962A
793 C3042Y|G4739R, C4121T, G5583A and C7187T. (B) Incidence plot of plasmid
794 replicon combinations (categories including ≥ 10 isolates). (C) Incidence plot of
795 species/ST (top 20 common categories as in Fig.1).

796

797 **Figure 3.** Schematic of *bla*_{KPC} plasmid types and sizes identified from long-
798 read/short-read hybrid sequencing approach by species/ST and year of collection (NB
799 only 21 contigs clearly designated as plasmid are represented). Closed circles denote
800 circularised contigs (i.e. complete plasmids); circle colours denote replicon types
801 assigned to each plasmid sequence (i.e. multiple colours represent multi-replicon

802 plasmids). Plasmids from isolates from the wider UK collection are denoted with a
803 “*”.

804

805 **Figure 4.** Alignments of plasmid sequences harbouring an IncFII(K)_1_CP000648-
806 like replicon, includes *bla*_{KPC}-negative and *bla*_{KPC}-positive sequences. All sequences
807 were re-orientated to start at IncFII for the purposes of alignment visualization (this
808 also includes incomplete sequences, for which the exact structure and order may
809 therefore be a proxy only). Loci of interest have been coloured and annotated as
810 shown. Shading between sequences denotes regions of homology, with light pink
811 shading denoting areas $\geq 90\%$ nucleotide identity, dark pink areas $\geq 50\%$ nucleotide
812 identity, and light blue areas $\geq 90\%$ nucleotide identity in reverse orientation. The
813 order of sequences is adjusted to highlight genetic overlap between sequences, but not
814 to imply any specific direct exchange events.

815

816 **Figure 5.** Short-read *bla*_{KPC} plasmid typing results (top match) for isolates by species
817 and date. Dots are coloured by location of isolate collection, as defined in Methods.

818

819 **Supplementary Tables and Figures**

820 **Figure S1.** Estimated *bla*_{KPC} copy number distributions for species/ST combinations.

821 Dots represent estimated copy number for single isolates; boxplots represent median
822 estimated *bla*_{KPC} copy number $\pm 1.58 \cdot \text{IQR} / \sqrt{n}$. For species designations, “Eclo”

823 = *Enterobacter cloacae*, “Ecol” = *Escherichia coli*, “Ente” = *Enterobacter* spp.,

824 “Kluy” = *Kluvera* spp., “Koxy” = *Klebsiella oxytoca*, “Kpne” = *Klebsiella*

825 *pneumoniae*, “Raou” = *Raoultella ornithinolytica*, “Serr” = *Serratia marcescens*.

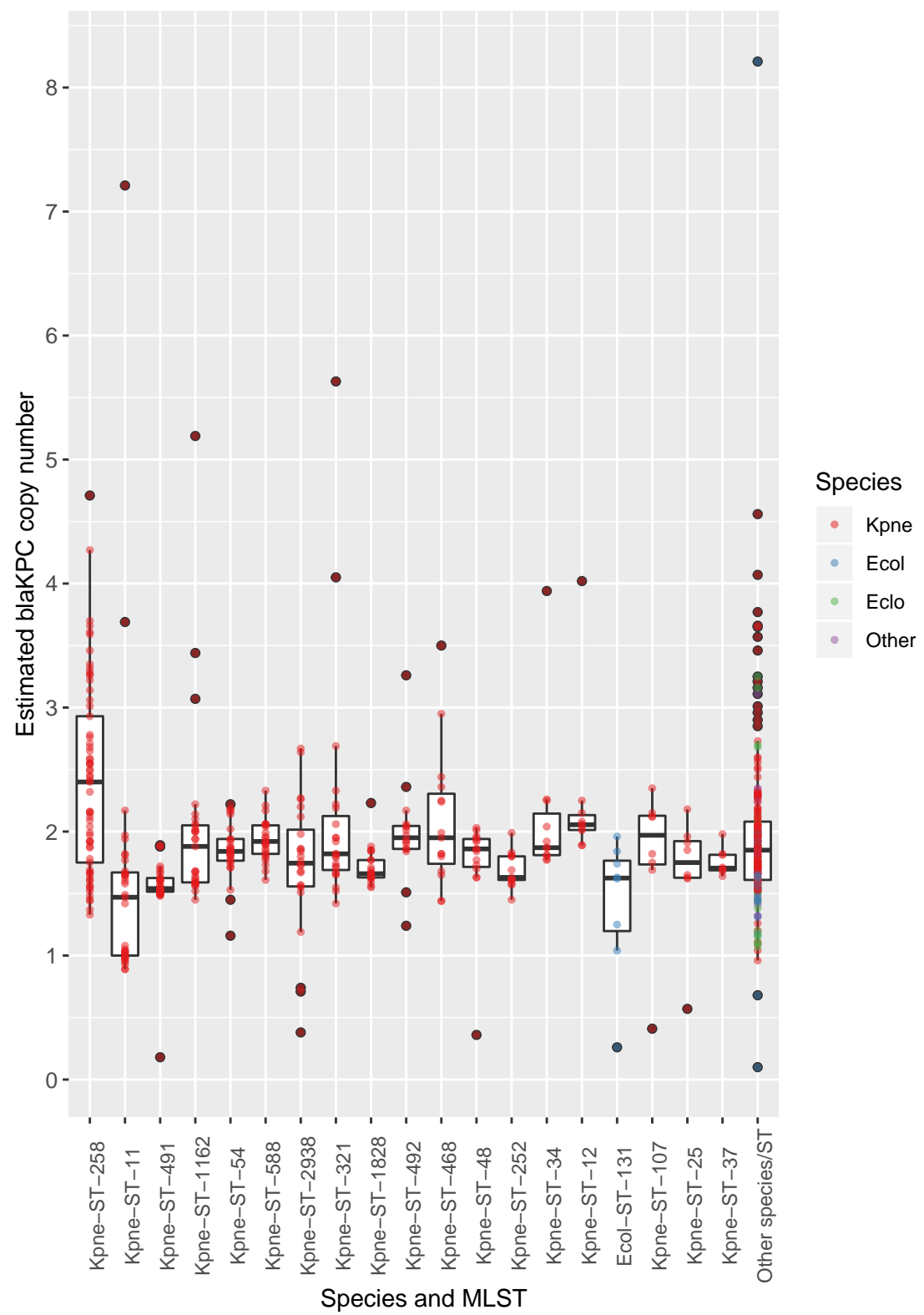
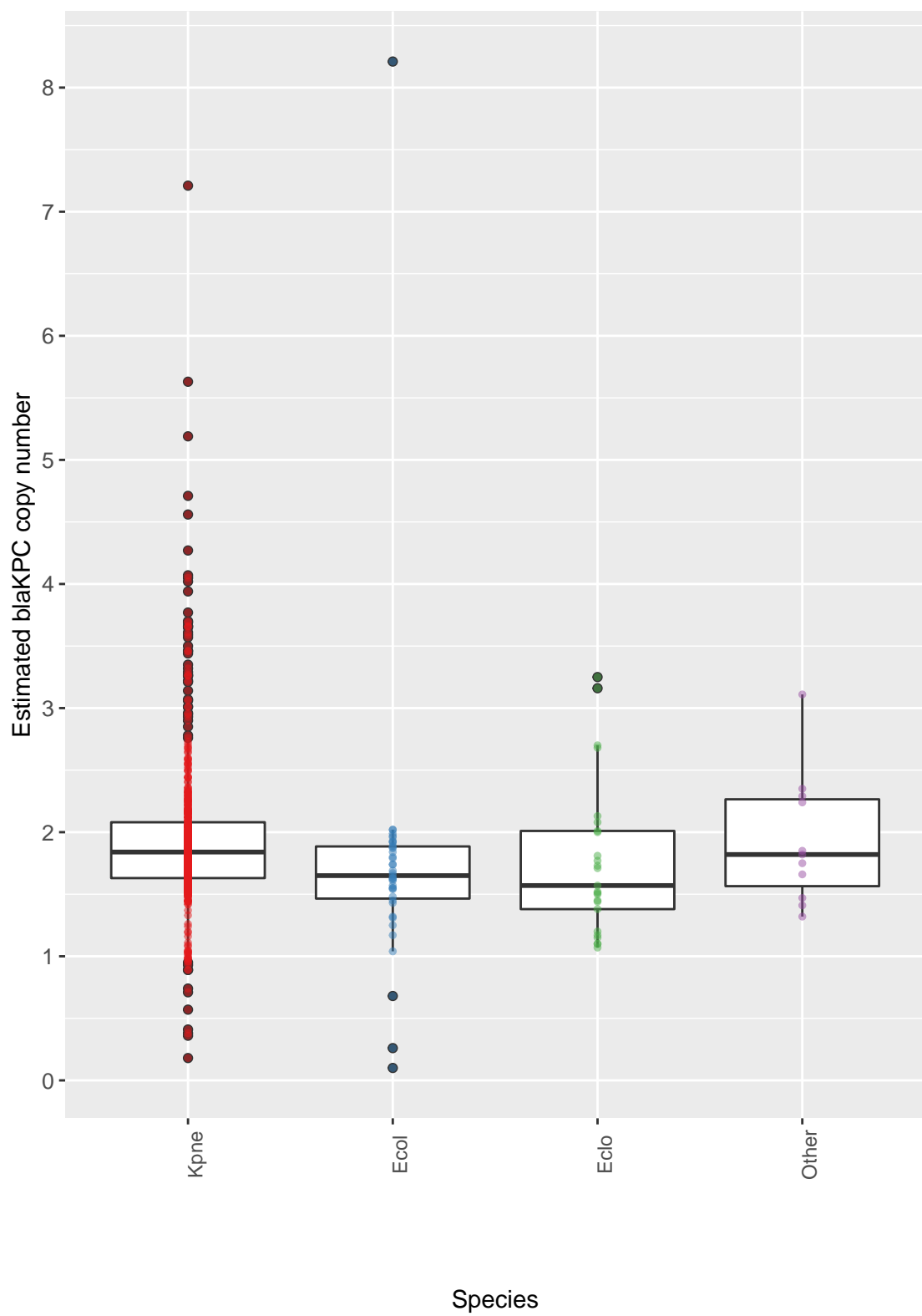
826 **Table S1.** Details of isolates assembled using short-read (Illumina) and long-read
827 (PacBio) datasets.

828

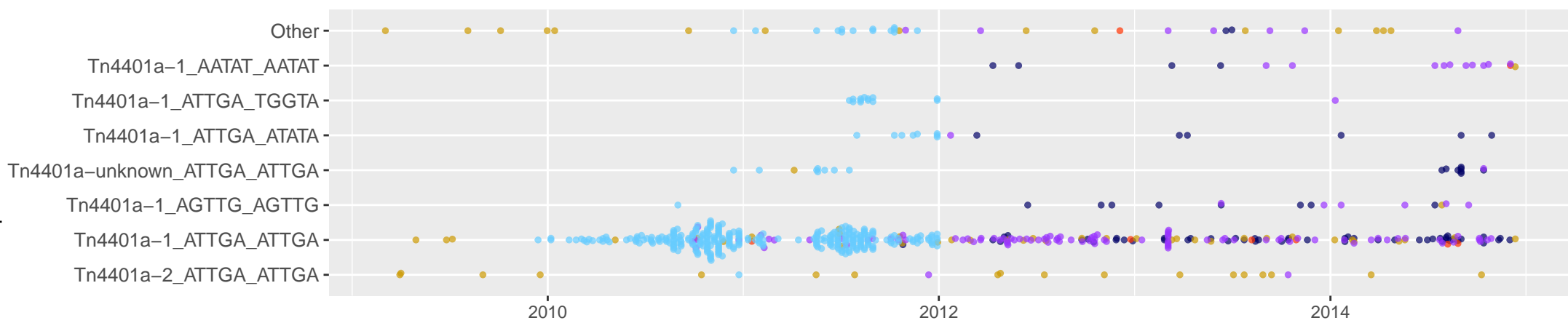
829 **Table S2.** Plasmid typing matches for isolates with short-read (Illumina) and long-
830 read (PacBio) assemblies and reconstructed plasmid structures.

831

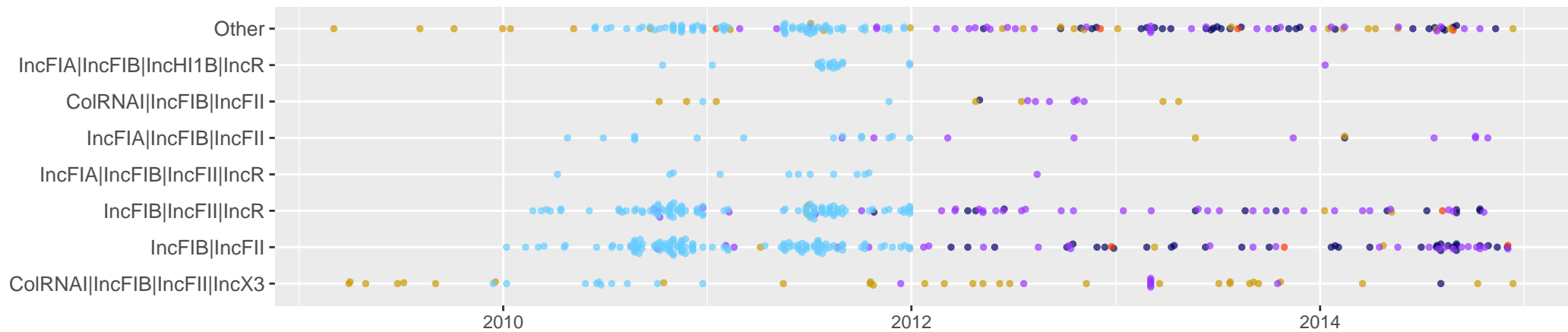
832 **Table S3.** Assignment of *bla*_{KPC} plasmids in study reference database to clusters for
833 plasmid typing.



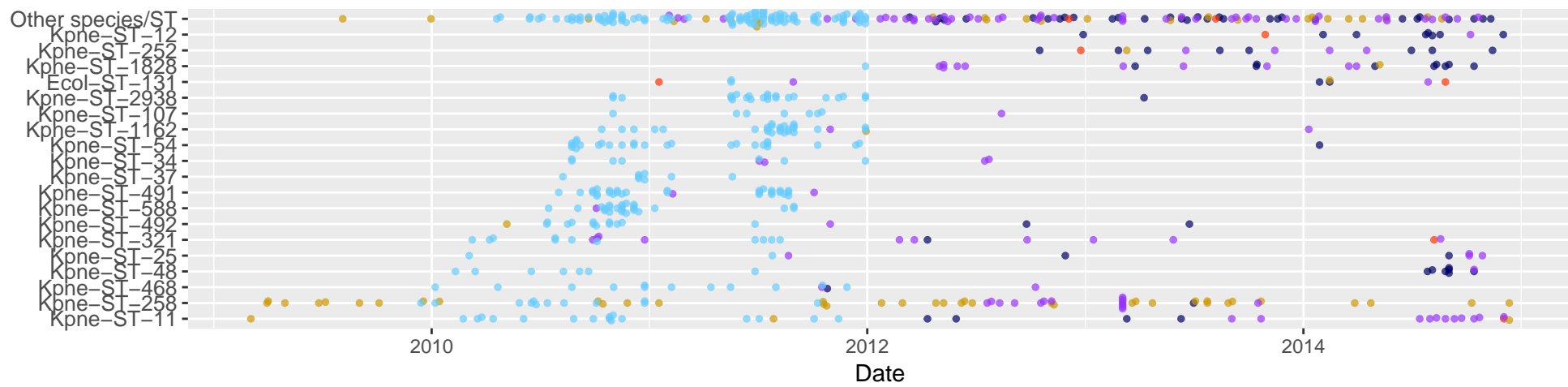
Top Tn4401 types and target site sequences within isolates



Top plasmid populations within isolates defined by Inc types



Top species and multilocus sequence types



• 2009–2011 cmft/uhs • 2012–2014 cmft/uhs • 2009–2014 nw region • 2009–2014 other uk hospital • 2009–2014 outpatient

