Different evolutionary trends form the twilight zone of the bacterial pan-

genome

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Abstract

The pan-genome is defined as the combined set of all genes in the gene pool of a species.

Pan-genome analyses have been very useful in helping to understand different evolutionary

dynamics of bacterial species: an open pan-genome often indicates a free-living lifestyle with

metabolic versatility, while closed pan-genomes are linked to host-restricted, ecologically

specialised bacteria. A detailed understanding of the species pan-genome has also been

instrumental in tracking the phylodynamics of emerging drug resistance mechanisms and drug

resistant pathogens. However, current approaches to analyse a species' pan-genome do not

take the species population structure into account, nor do they account for the uneven

sampling of different lineages, as is commonplace due to over-sampling of clinically relevant

representatives. Here we present the application of a population structure-aware approach for

classifying genes in a pan-genome based on within-species distribution. We demonstrate our

approach on a collection of 7,500 *E. coli* genomes, one of the most-studied bacterial species

used as a model for an open pan-genome. We reveal clearly distinct groups of genes,

clustered by different underlying evolutionary dynamics, and provide a more biologically

informed and accurate description of the species' pan-genome.

Keywords

Pan-genome, evolutionary dynamics, *E. coli*, HGT

Main

Advances in whole genome sequencing in the last two decades and the ability to sequence multiple isolates of the same species have revealed that, often, only a small fraction of genes are shared by all species members. Conversely, a substantial proportion of the combined pool of genes within a species – the pan-genome – consists of highly mobile genetic material with heterogeneous distributions across its members (Brockhurst et al. 2019).

In a traditional pan-genome analysis, genes are divided into core genes, describing those present across the majority of the members of the species, and accessory genes, which are only present in some. The accessory genome is often further subdivided into rare and intermediate genes based on their frequency in the dataset. However, measuring gene frequencies across the whole dataset does not account for the population structure or biased sampling of the genomes in the dataset. Such simple classification can be particularly problematic when the population of interest consists of multiple deep-branching lineages that are unevenly represented in the collection. For example, if 50% of a genome collection is represented by one lineage that was heavily over-sampled compared to other lineages, and all isolates of that lineage have a particular gene which is absent in all other lineages, this gene will simply be defined as an "intermediate" gene. Based on these definitions alone, it would not be differentiated from a gene that is found in all isolates of all the other lineages, or evenly distributed across the different lineages comprising 50% of the total isolates. Notably, ecological adaptation of a globally disseminated lineage may be driven by a large set of genes found in all isolates of that lineage, which are rare outside the lineage (Lassalle et al. 2017). Hence, the biological reality requires more refined concepts when classifying genes in the pan-genomic context.

Here, we introduce a population structure-aware approach to classify the genes of a pan-genome beyond accessory and core categories, which accounts for the relative representation of the lineages in the population being studied. This refined classification allows us to better describe the pan-genome and its underlying evolutionary dynamics in organisms with complex population structures. Recent hypotheses on the evolution of the pan-genome have highlighted that different evolutionary mechanisms are required to explain the observed patterns of large open pan-genomes (Vos and Eyre-Walker 2017; Andreani, Hesse, and Vos

2017; Shapiro 2017; McInerney, McNally, and O'Connell 2017). Several competing and non-
exclusive hypotheses have been proposed, including the selectively neutral spread of
accessory genes – including, but not limited to highly mobile selfish elements (Andreani,
Hesse, and Vos 2017; Vos and Eyre-Walker 2017), or indeed adaptive evolution (McInerney,
McNally, and O'Connell 2017). Here we illustrate how an analysis of the patterns of within-
species gene distribution informed by population structure can provide a more precise view of
genes following different evolutionary trajectories. We demonstrate this on a compiled dataset
of over 7,500 carefully curated *Escherichia coli* genomes: one of the most-studied bacterial
species and used frequently as a model to illustrate an open pan-genome (Touchon et al.
2009; Rasko et al. 2008; Gordienko, Kazanov, and Gelfand 2013).

Results

Case study: population structure-aware pan-genome analysis of a collection of 7,500 *E. coli* genomes.

To demonstrate how one can refine a pan-genome description while accounting for population
structure, we used a recently published genome collection that includes over 7,500 *E. coli* and
Shigella sp*.* genomes isolated from human hosts, referred to as the Horesh collection (Horesh
et al. 2021). Shigellae are in fact specialised pathotypes of *E. coli* and were thus included
(Pettengill, Pettengill, and Binet 2015; Chattaway et al. 2017). Briefly, the genomes in the
Horesh collection were collated from publications and other public resources, representing the
known diversity of the clinical *E. coli* isolate genomes available in public databases and
underwent quality-control steps to ensure a final set of high-quality genomes. The genomes
were grouped into lineages of closely related isolates (Figure 1A) using a whole genome-
based clustering method that was designed to determine bacterial within-species population
structure (Lees et al., 2019.). In total, the collection featured 1,158 lineages representing the
E. coli species (as described in (Horesh et al. 2021)). We restricted our population-structure
aware pan-genome analysis to the largest 47 lineages, which represented the majority of this
dataset (7,692/10,158 genomes). Importantly regarding the demonstration of our approach,
70% (5,349/7692) of all genomes in this collection belong to six highly overrepresented
lineages. The pan-genome of the Horesh collection was classified into 50,039 homologous
gene clusters (as described in (Horesh et al. 2021)).

Figure 1: Twilight pan-genome analysis workflow. A *A collection of genomes are grouped into lineages of closely related isolates.* **B** *Each gene is classified as core, intermediate or rare in each lineage, depending on its frequency within the lineage (as defined in the grey box).* **C** *The classification of the entire gene pool across all lineages consists of a total of 13 distribution classes. These include the number of lineages is which a gene is present (all lineages, multiple lineages or a single lineage), and the combination of frequency assignments of the gene in those lineages (core, intermediate or rare).*

The classical definition of the core genome is heavily influenced by the underlying biases of the studied datasets

We defined the distribution for each gene cluster in the *E. coli* and *Shigella* genome dataset by considering their frequency in each of the above-defined lineages independently. A gene cluster can thus be core, intermediate, rare or absent based on its frequency within each respective lineage (Figure 1B) but can have varied distributions in different lineages (Figure

1C, e.g. core in some and rare in other lineages). We summarised the combination of gene
cluster occurrence patterns across lineages into a set of 13 species-wide distribution patterns,
which we propose as novel categories for a more appropriate description of datasets with
complex underlying population structure (Figure 1C). Compared to traditional pan-genome
analyses, the "collection core" genes represent the classical definition of the core genome,
whereas we consider the accessory genome as subdivided into 12 new classes, informed by
the population structure, whose distribution reflects several different evolutionary dynamics.
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Figure 2A illustrates the new distribution classes, based on the number of lineages in which
they were observed and their mean frequency within those lineages. Only the top right corner
represents the traditional set of core genes. The rest of the pane is what is usually summarised
as the accessory genome; the colours describe the underlying distribution classes. The plot
shows the continuity of gene frequencies across the entire collection, with genes present
across almost the entire distribution frequency spectrum.
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Within this expanded classification, "collection core genes" are equivalent to the traditional
classification of core (assuming a threshold of ≥95% of the genomes in the collection encoding
for a gene for it to be defined as core). In this analysis, the collection core is comprised of
1,426 gene clusters; representing 3% of the total number of gene clusters comprising the *E.*
coli pan-genome (1,426/50,039) and 30% of the total number of genes in a typical *E. coli*
genome (defined as the weighted median across the 47 lineages, see methods, Figure 2B,C,
Supplementary Table S1).
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An additional 1,532 gene clusters (3% of the pan-genome) are now defined as multi-lineage
core: that is, they are present in ≥95% of isolates per lineage in multiple (but not all) lineages
(2-46 lineages, Figure 2B). Another 2,040 genes (4% of all genes) were core to only a single
lineage (Figure 2B). Both classes would have been assigned to the accessory genome
following the classical definition of the pan-genome, as genes that are core to lineages with
low representation in the dataset would have been categorised as rare genes. Importantly,
these two additional distribution classes allow us to capture more recent acquisition or loss
events that have remained fixed in a respective lineage or lineages.
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Figure 2: Population-structure aware pan-genome of E. coli. A *Hexagonal binning of all genes of the E. coli pan-genome, presented as the number of lineages in which each gene was observed (x-axis) against the mean frequency across the lineages containing it (y-axis). Each hexagon is coloured by the most common distribution class on the pane (see colour key).* **B** *Number of gene clusters of the E. coli pan-genome from each of the novel distribution classes.* **C** *The relative abundance and gene count of each of the distribution classes in a typical E. coli genome in the collection. Only the collection core genes represent the traditional set of core genes, the rest represent what would usually all be summarised as the accessory genome.*

The majority of rare and intermediate genes are lineage-specific

The majority of the *E. coli* gene clusters were classified as "rare genes" (Figure 2B, defined as present in <15% of isolates of a lineage) in one or multiple lineages within the dataset. In total, 63% (34,624/55,039) of the *E. coli* pan-genome was classified as rare, with 67% of all

rare genes being specific to a single lineage (23,175/34,624; Figure 2B). In relation to a single *E. coli* genome, these genes only form 0.1% of a typical genome (Figure 2C).

Intermediate frequency gene clusters on the contrary formed only 4% (2,685/55,039) of the entire gene pool; however, similar to the rare gene clusters, 86% of intermediate gene clusters (2,329/2,685) were only observed in a single lineage. Rare and intermediate genes observed in multiple lineages were most commonly observed in up to four lineages (Figure 2C, Supplementary Figure S1). We did not observe any rare or intermediate genes present across more than 30 lineages, and there were no collection rare or collection intermediate genes in this dataset (Figure 1A, 2A,B, Supplementary Figure S1).

A fifth of the pan-genome consists of genes observed in different frequencies across the lineages

"Varied genes" were defined as those observed in several lineages, but at different frequencies within the respective lineages (e.g. core in one and intermediate in another lineage). These represented 23% of the pan-genome (12,732/55,039) (Figure 2B) and 57% of all genes in a typical *E. coli* genome (Figure 2C). To summarise all of these observations, genes were categorised as "core and intermediate", "core, intermediate and rare", "core and rare" or "intermediate and rare" depending on the combination of frequencies in which they appeared (Figure 1C). "Core and intermediate" genes were commonly observed in more lineages and in higher frequencies within those lineages and represented 38% of the genes in a typical *E. coli* genome (Figure 2A,C Supplementary Figure S1). On the other hand, the group of "intermediate and rare" had a lower frequency and were observed in fewer lineages (Figure 2A, Supplementary Figure S1).

Low frequency genes are four times more likely to have been horizontally transferred than high frequency genes.

As the pan-genome in any collection represents a snapshot of the gene pool at the time of sampling, our refined view of the different distribution classes may be used to infer how the genes are gained and lost and can indicate a gene's future trajectory within a population. For instance, genes that are self-mobile or carried as cargo on mobile genetic elements will have a markedly different pattern of distribution relative to genes that may be in the process of being selectively lost in any particular lineage.

To assess whether genes from the different distribution classes showed varying evidence of
levels of mobility and estimate the probability of genes having been horizontally transferred,
we applied a species-tree gene-tree reconciliation method (Morel et al. 2020) to each gene
cluster of the pan-genome. As expected, higher frequency genes (Figure 2B), ie. those present
in the "collection core", "core and intermediate" and "multi-lineage core", gene sets were
estimated to have the lowest probabilities of having been horizontally transferred (median
0.12, 0.13 and 0.1, respectively) (Figure 3A, Supplementary Figure S2). Conversely, the lower
frequency gene classes, i.e. "multi-lineage rare", "multi-lineage intermediate", "intermediate
and rare" and "core, intermediate and rare" gene sets were estimated to be up to four times
more likely to have been horizontally transferred than the high frequency genes (median
probabilities of 0.48, 0.46, 0.44 and 0.31, respectively, Supplementary Figure S2). Consistent
with this, by counting the total number of gene gain events predicted to have occurred on each
branch using ancestral state-reconstruction, multi-lineage core gene gains most commonly
occurred along the internal branches (Figure 3B) whereas "intermediate and rare" genes were
predominantly gained at the branch tips (Figure 3C).

Figure 3: Different evolutionary dynamics of genes within the accessory genome. A
Inferred probability of transfer using species-tree gene-tree reconciliation for the entire
accessory genome (i.e. all 12 distribution classes which make up the accessory genome), only

Of the multi-lineage core genes, 54% could be assigned as basic cellular processes such as metabolism, information storage and processing and cell signalling (Supplementary Figure S3). On the other hand, 73% of "intermediate and rare" genes were either assigned to a poorly characterised function (often associated with genetic mobility) or of unknown function (Supplementary Figure S4).

Detection of shared horizontally transferred genes between lineages is strongly dependent on unbiased sampling.

We observed that the number of "intermediate and rare" genes shared between every two lineages was positively correlated with the size of the two lineages being compared, with larger lineages sharing more mobile genes (Figure 4A, log linear regression, R^2=0.45, p<2.2e-16). Contrarily, we did not observe a relationship between the number of "intermediate and rare" genes shared between every two lineages and their phylogenetic distance (Figure 4B; linear regression, R^2=0.005, p=0.01). Using our population-structure aware approach to measure sharing of the genes belonging to the different distribution classes suggests a lack of barrier to gene flow between lineages. With that being said, our analysis highlights the need to increase sampling of under-studied lineages in order to overcome sampling-related biases and truly understand the level of horizontal transfer of genes between them.

Figure 4: Relationship between sharing of "intermediate and rare" genes, phylogenetic distance and lineage size. *Relationship between the number of "intermediate and rare"*

Novel distribution classes can highlight lineages with evolutionary trajectories unusual for the species.

We normalised the counts of shared genes to correct for the bias led by the size of the lineages and any sharing of genes driven by phylogenetic relatedness (see Methods, Supplementary Figure S5). This revealed that two lineages (12 and 40) tended to share more "intermediate and rare" genes than expected compared to other lineages in the collection (Pairwise Wilcoxon rank sum test, p<0.001, FDR corrected, Figure 5A, Supplementary Figure S6). Genomes in lineages 12 and 40 however, are smaller than those in other lineages (Pairwise Wilcoxon rank sum test, p<0.001, FDR corrected, Figure 5B), and the mean number of lineage-specific rare genes in a single genome was 32 and 30 genes, respectively, compared to 5 in a typical *E. coli* genome (Pairwise Wilcoxon rank sum test, p<0.001, FDR corrected; Figure 2C, Figure 5C, Supplementary Figure S7). Overall, the relative fraction of lineage-specific rare genes in the genomes of these lineages was seven times higher relative to the median fraction in the entire collection (median fraction in collection = 0.001; median fraction in lineages 12 and 40: 0.007; Figure 2C). Similar to the other low frequency genes, the "lineage-specific rare" genes were also most commonly predicted to be phage-derived or otherwise had other annotations related to genetic mobility (Supplementary Figure S4).

Figure 5: Redefining the pan-genome reveals key insights into particular lineages. A Number of shared mobile genes per isolate, for isolates belonging to lineage 12, 40 or all other lineages. Counts were normalised to consider the dependency on the lineage size, and to correct for gene sharing driven by phylogenetic relatedness (Pairwise Wilcoxon rank sum test, FDR corrected, *p < 0.05, **p< 0.01, ***p < 0.001). B Genome length of each isolate, for

Discussion

To date, the existence of complex population structure and diverse lineages in the bacterial
populations has not been taken into account in pan-genome analyses. We introduce a
population-structure aware classification of the pan-genome as an extended set of thirteen
classes. Our study reveals distinctive patterns in the evolutionary dynamics of these gene
classes, with differences in the relative importance of these gene classes between lineages
within *E. coli*. Our approach can be further applied to other bacterial species of public health
interest to provide insight into the evolutionary dynamics of genes within such species.

Subcategorising the genes of the accessory genome allowed us to distinguish the evolutionary
dynamics of different gene classes within the accessory genome. Grouping all the genes of
the accessory genome together showed a large spread of probabilities of genes being
horizontally transferred. Our refined approach showed that low-frequency genes transfer more
frequently than the high-frequency genes. Importantly, the study of outliers, which disagree
with the general trend of each of the distribution classes, can reveal gene-specific evolutionary
dynamics, including adaptive processes. For instance, multi-lineage core genes estimated to
have high rates of transfer may represent genes that were acquired and fixed independently
on multiple occasions and could be cases of convergent evolution and adaptation to similar
niches.

By expanding the number of distribution classes of the accessory genome relative to traditional
approaches, we were able to observe a relationship between the number of rare genes per
genome and high levels of sharing of horizontally transferred genes in two lineages, 12 and
40. This relationship has biological implications, as it suggests that the higher levels of gene
sharing are driven by an increased ability to retain mobile genes in each genome for isolates
belonging to these lineages, or an inability to prevent invasion by foreign selfish elements.
78% of the isolates from lineage 12 are of ST10 and 43% of the isolates in lineage 40 are from
ST23. ST10 and ST23 are ubiquitous as they have been described as both commensal and
pathogenic, multidrug resistant, as well as isolated from human and animal sources (Bortolaia
et al. 2011; Oteo et al. 2009). These properties have labelled these lineages as generalists
and as potential facilitators of gene movement in the population (Matamoros et al. 2017). Here

we showed that these differences can be identified and exemplified through more refined
analysis of the pan-genome of the entire dataset, as well as within each lineage separately. In
doing so, we can also identify lineages that have a greater propensity as vectors for facilitating
gene movement.
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It is clear that as available genomic data grows, and our understanding of the population
structure becomes richer, a population structure-aware approach to analysing the gene
frequency distribution is necessary to overcome several biases inherent in large datasets
consisting of variably sampled populations, as these biases can overshadow the true
distribution of the genes in a population. For example, using a traditional approach, treating
all gene counts across the entire collection equally, genes that are core and specific to a single
lineage that has a low representation or penetrance in the collection could be mistaken for
rare genes. Identification of these genes is highly important, as being core to only a subset of
the population suggests that they have an evolutionary advantage in a particular genetic
context or ecological setting (Lassalle, Muller, and Nesme 2015; Gori et al. 2020). Additionally,
genes that are core to a subset of the population are particularly relevant to investigate further
for their potential use in diagnostics and epidemiology.

314 Materials and methods

315 Gene classification into "distribution classes"

Each gene cluster was assigned to a distribution class based on its frequency within genomes
belonging to the same phylogenetic clusters, termed lineages (Figure 1A). Within each
lineage, a gene was defined as "core" if it was present in more than 95% of the isolates of that
lineage, "intermediate" if present in 15% to 95% of isolates of the lineage, and "rare" if present
in up to 15% of the isolates of the lineage (Figure 1B). Three main distribution classes, "Core",
"Intermediate" and "Rare", contained all the genes that were always observed as being "core",
"intermediate" or "rare" respectively across the lineages in which they were present (Figure
1C). "Collection core", "collection intermediate" and "collection rare" genes were present and
in their respective frequencies across all the lineages of the collection. "Multi-lineage core",
"multi-lineage intermediate" and "multi-lineage rare" genes were present in multiple lineages
in their respective frequencies. "Lineage specific core", "lineage specific intermediate" and
"lineage specific rare" genes were present only in one lineage in their respective frequencies.
The final main distribution class or "varied" genes, included all the genes which were observed
as either combination of "core", "intermediate" or "rare" across multiple lineages. All the
possible combinations are "core, intermediate and rare", "core and intermediate", "core and

rare" and "intermediate and rare" (Figure 1C). The classification of all genes in the *E. coli*
collection is available as Supplementary Table S1.

Measuring the genetic composition of each lineage

334 The number of genes from each of the thirteen distribution classes was counted in each of the
335 7,693 *E. coli* genomes in the collection. The median number of genes from each distribution
336 class was calculated per lineage. The genetic composition of a typical *E. coli* genome was
337 measured as the median across the medians calculated per lineage for each distribution class.

Gene-tree species-tree reconciliation

GeneRax (v1.2.2) was used to infer the probability of a horizontal gene transfer event for each
gene using species-tree gene-tree reconciliation (Morel et al. 2020). A multiple sequence
alignment of all the representative sequences of each gene cluster which had at least four
members (available as file F6 at (Horesh et al. 2021)) were performed using mafft (v7.310)
(Katoh and Standley 2013). An initial tree for each gene cluster, used as the input for
GeneRax, was constructed using iqtree (v1.6.10) with SH-like approximate likelihood ratio test
(SH-aLRT) with 1000 replicates (Nguyen et al. 2015). The reconciliation was performed
against the species tree provided in (Horesh et al. 2021) with strategy SPR, reconciliation
model UndatedDTL and substitution model GTR+G. The probability of transfer was inferred
by GeneRax for each of the gene-clusters when reconciled against the species tree.

Counting gain events

The phylogenetic tree representing the 47 lineages was downloaded from (Horesh et al. 2021).
The phylogenetic distance between every two lineages was measured as the patristic
distance using the function 'cophenetic' from the R package ape (v5.3) (Paradis, Claude, and
Strimmer 2004). The patristic distance is the sum of the total distance between two leaves of
the tree, which represent the lineages, and hence summarises the total genetic change in the
core gene alignment represented in the tree.
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The leaves or tips of the phylogenetic tree represent the 47 lineages. Presence of a gene in a
lineage (tree leaf) was defined as the gene being observed at least once in at least one isolate
of the lineage, i.e. the frequency in the lineage was ignored. The presence or absence of a
gene in an ancestral node, i.e. an internal node, was determined using accelerated
transformation (ACCTRAN) reconstruction implemented in R (Farris 1970). ACCTRAN is a
maximum parsimony-based approach which minimises the number of transition events on the

tree (from absence to presence and vice versa) while preferring changes along tree branches
closer to the root of the tree.

Gain and loss events were counted based on the results of the ancestral state reconstruction.
If there was a change from absence to presence from an ancestor to a child along a branch
in the phylogeny, a gain event was counted. If there was a change from presence to absence
a loss event was counted. The total number of gain and loss events was counted for each
gene as well as on each branch for all distribution classes. ggtree (v1.16.6) was used for
phylogenetic visualisation (Yu et al. 2017).

Measuring gene sharing between lineages

The number of genes shared from each distribution class between every two lineages was
counted using custom R and python scripts. In order to identify where some lineages shared
more genes than expected, we corrected for gene sharing driven by the phylogeny or by a
large sample size. To correct for phylogenetically driven gene sharing, for each lineage we
only counted the number of genes shared with lineages which had a patristic distance of 0.15
or more from it on the species tree. This threshold was chosen based on the observation that
isolates from the same phylogroup had a patristic distance lower than 0.15 (Supplementary
Figure 4). To correct for the lineage size, we fitted a linear model for the number of genes
shared between every two lineages against the size of the lineage, which showed a positive
coefficient. We adjusted the values as follows: $counts_{new} = count_{orig} - \beta \times log10(size) -$
α, where β is the coefficient of the line and α is the intercept (Supplementary Figure S5). We
then scaled the numbers to be larger than 0 by adding the lowest value to all counts. The new
counts no longer correlated with the size of the lineages (Supplementary Figure S5).

Functional assignment of COG categories

The predicted function and COG category of each gene cluster were assigned using eggNOG-
mapper (1.0.3) on the representative sequence of each of the gene clusters (Huerta-Cepas et
al. 2017). Diamond was used for a fast local protein alignment of the representative sequences
against the eggNOG protein database (implemented within eggNOG-mapper). The COG
(Clusters of Orthologous Groups) classification scheme comprises 22 COG categories which
are broadly divided into functions relating to cellular processes and signaling, information
storage and processing, metabolism and genes which are poorly categorised (Galperin et al.
2015). When no match was found in the eggNOG database, the genes were marked as "?" in
their COG category.

Sub-sentences of all lengths were extracted from each of the functional predictions for each gene cluster using the function "combinations" from the python package "itertools", while ignoring common words. For instance, for the functional prediction "atp-binding component of a transport system", the words "of", "a" and "system" were ignored, and the extracted sub-sentences were "atp-binding component", "atp-binding component transport" and "component transport". The number of times each sub-sentence appeared in each distribution class was counted. Overlapping sub-sentences which only had a difference of 3 or smaller in their total counts per distribution class were merged in the final count to include only the longer sub-sentence. For instance, if "atp-binding component transport" was counted 100 times and "atp-binding component" was counted 103 times, the final count would only include the longer sub-sentence "atp-binding component transport" with a count of 100.

Code availability

All analyses were performed using custom R and Python scripts, available at https://github.com/ghoresh11/twilight/tree/master/manuscript_scripts. The script used to classify the genes into distribution classes and generate the figures presented in this study is available at https://github.com/ghoresh11/twilight. The script can be applied on any other dataset, given a gene presence absence file as generated by pan-genome analysis tools and a grouping of each genome into a lineage. ggplot2 was used for all plotting (Wickham 2016).

Acknowledgements

This work was funded by Wellcome Sanger Institute (no. 206194), a Wellcome Sanger Institute PhD studentship (to G.H. and S.M.), Woolf Fisher Scholarship (to S.M.) and an ERC grant (742158 to J.C). EH acknowledges funding from Wellcome (217303/Z/19/Z) and UKRI (BBSRC V011278/1). We would like to thank Leopold Parts, Simon Harris, Andres Floto and members of the Thomson team for useful discussions.

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