Title

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2 Microbiota responses to different prebiotics are conserved within individuals and associated with

3 habitual fiber intake

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Abstract

Background: Short-chain fatty acids (SCFAs) derived from gut bacteria are associated with

protective roles in diseases ranging from obesity to colorectal cancers. Intake of microbially

accessible dietary fibers (prebiotics) lead to varying effects on SCFA production in human

studies, and gut microbial responses to nutritional interventions vary by individual. It is therefore

possible that prebiotic therapies will require customizing to individuals.

Results: Here, we explored prebiotic personalization by conducting a three-way crossover study

of three prebiotic treatments in healthy adults. We found that within individuals, metabolic

responses were correlated across the three prebiotics. Individual identity, rather than prebiotic

choice, was also the major determinant of SCFA response. Across individuals, prebiotic response

was inversely related to basal fecal SCFA concentration, which, in turn, was associated with

habitual fiber intake. Experimental measures of gut microbial SCFA production for each

participant also negatively correlated with fiber consumption, supporting a model in which

individuals' gut microbiota are limited in their overall capacity to produce fecal SCFAs from

fiber.

Conclusions: Our findings support developing personalized prebiotic regimens that focus on

selecting individuals who stand to benefit, and that such individuals are likely to be deficient in

fiber intake.

Keywords

Microbiome; prebiotic; short-chain fatty acids; diet; personalized nutrition; fiber

Background

A key beneficial role of the human gut microbiota is producing the short-chain fatty acids

(SCFAs) acetate, propionate, and butyrate, which are metabolic end products of anaerobic

fermentation (1, 2). These SCFA, most notably among them, butyrate, have been shown to

promote gastrointestinal (GI) barrier integrity, lower inflammation, increase resistance to

pathogen invasion, and contribute positively to enteroendocrine signaling and energy

homeostasis (3-9). Augmenting these functions may explain the protective role of SCFAs in

diseases ranging from obesity to inflammatory bowel diseases (3, 10-20).

The substrates for SCFA production in the human gut are predominately fibers, which are

dietary carbohydrates inaccessible to human enzymes and transporters (21). On average,

American adults consume only 21 to 38% of the fiber that is recommended by the USDA (22).

This lack of fiber is implicated in the etiology of Western diseases (15, 23, 24), which may in

part be tied to the effects of low fiber consumption on microbial SCFA production and SCFA

signaling (15, 25-29). To address fiber deficiencies, dietary supplements known as prebiotics

have been formulated using specific dietary fibers that are microbially fermentable but host-

inaccessible. Prebiotics can increase production of SCFAs by the gut microbiota (30-33), and are

a promising microbiota-targeting approach for promoting health (34).

A key challenge of using prebiotics to promote SCFA production is heterogeneity in

treatment response. Many distinct prebiotic formulations exist (35, 36), and different prebiotics

have been associated with diverging patterns of SCFA production (30, 32). Prebiotic trials have

also often revealed an increase in SCFA at the population level following treatment, but

inconsistent results at the level of individual (30-33). Still, prebiotic trials tend not to examine

how responses to different prebiotics vary within individuals, and have to date often profiled

single prebiotics (31, 33, 37, 38), or tested different prebiotics in separate cohorts (30, 32, 39).

More rare crossover studies have taken place, but have either not investigated individual

variation in prebiotic response (40), or solely utilized *in vitro* assays of prebiotic response (41,

42). If consistent evidence does emerge that responses to different prebiotics vary within people,

then effective prebiotic therapies will face the challenging task of personalizing prebiotic choices

for each recipient. Alternatively, if responses to different prebiotics are conserved within

individuals, effective prebiotic therapy could primarily focus on selecting individuals for

treatment. Evidence supporting this latter scenario include studies showing that individual

identity is a stronger predictor of SCFA concentrations than dietary intervention (43), and that

individual characteristics like habitual food choice can predict changes to microbiota community

composition following prebiotic supplementation (38).

To directly investigate the interaction of prebiotic and individual variation in prebiotic

response, we report here the results of a randomized, three-way, crossover trial where a single set

of individuals was treated with multiple prebiotics. The design was uniform in period (each

intervention occurring the same number of times in an intervention period) and in series (each

intervention occurring the same number of times in a intervention series), and fully balanced

with respect to carryover effects (each intervention is preceded by each other intervention an

equal number of times across the study). Our primary lines of inquiry were to assess the relative

contribution of individual and prebiotic differences to SCFA responses to supplementation, with

an emphasis on butyrate production. Secondary analyses included determining what host and

microbiological factors shaped variation in prebiotic response.

Methods

Participant recruitment:

This study was conducted at Duke University in Durham, NC, USA, and was registered

with ClinicalTrials.gov (Identifier: NCT03595306). All recruitment and study procedures

involving human subjects were approved by the Duke University Institutional Review Board

(Pro00087214). Study participants were recruited by flyers, email list-servs, and word-of-mouth

at Duke University Campus. Individuals with a self-reported history of irritable bowel syndrome,

inflammatory bowel disease, type-2 diabetes, kidney disease, intestinal obstruction, or colorectal

cancer were excluded. Participants were also excluded if they had taken oral antibiotics within

the past six months, had any known food allergies, reported dietary intolerances of any kind, or

were pregnant or breastfeeding. If individuals identified as female, their urine was subjected to a

pregnancy test (Quidel QuickView One-Step hCG Urine Test) to minimize the risk that prebiotic

treatment would impact newborn or infant health. Participants who tested positive were deemed

ineligible for participation in the study. Inclusion criteria were that participants were between

the ages of 18 and 70, and able to provide stool samples at no risk to themselves. Fiber

consumption, prebiotic/probiotic usage, and dietary habits were not used as inclusion/exclusion

criteria, but participants were asked to report via surveys as part of the study requirements.

During this period, 81 individuals set up a phone interview to determine eligibility and interest to

participate in the study. Of these, 41 completed electronic informed consent to the study and

were subsequently enrolled. Ultimately, eight subjects were lost to follow-up, two withdrew, and

three were omitted from some or all analyses due to inability to collect sufficient usable sample,

resulting in 28 subjects included in all final data analyses.

Study design:

The three-period crossover longitudinal study was conducted from May of 2018 to March

of 2019. The crossover design allowed investigation of three prebiotic interventions while also

allowing participants to serve as their own controls (Figure 1). There were six arms of the study,

to cover all possible orders of prebiotic consumption and to eliminate the need to account for

uneven carry-over effects. The study consisted of an initial study visit, followed by a 6-week

study period with alternating weeks of baseline (no prebiotic consumption) and intervention

(prebiotic consumption). Participants were added sequentially to an arm group as they enrolled;

meaning the first participant was enrolled in Arm one, the second to Arm two and so on.

Participants were blinded to the prebiotics that they were consuming until the end of the study.

The prebiotics were taken twice a day, Monday to Friday during the intervention weeks. Monday

was a half-dose, to help allow participants to adjust to the increase in fiber. Following consent,

participants had an initial study visit, to have their baseline physiology assessed by height,

weight, and blood pressure measurement, as well as provide a urine sample and receive the study

kit and materials. Participants were asked to self-collect stool at home three times a week each

week during the study period. Participants also completed four diet surveys throughout the study;

one instance of the Diet History Questionnaire Version 3 (DHQ3) (44), covering the one month

period prior to the study, and three instances of the Automated Self-Administered 24-hour

(ASA24) Dietary Assessment Tool, version 2017, developed by the National Cancer Institute,

Bethesda, MD (45). Two ASA24's were completed during the week, and one on a weekend. The

DHQ3 was completed prior to the 6-week study period. We found that correlations of total

calories, protein, fat, carbohydrate, and dietary fiber between the two tools were robust (Calories;

$p = 0.032$, $r = 0.42$: Protein; $p = 0.021$, $r = 0.45$: Fat; $p = 0.036$, $r = 0.41$: Carbohydrates; **$p =$**

0.069, $r = 0.38$: Dietary fiber; $p = 0.001$, $r = 0.59$: Pearson correlations). Additionally,

participants completed online-surveys about their experiences with the prebiotics following the

intervention weeks.

Prebiotic supplementation:

Three prebiotics were tested in this study: inulin (manufactured by Now Foods,

Bloomingdale, IL), wheat dextrin (Benefiber, manufactured by GSK Consumer Healthcare,

Warren, NJ), and galactooligosaccharides (GOS) (Bimuno, manufactured by Clasado Limited,

Shinfield, UK). In a clean non-laboratory space, prebiotics were weighed into individual doses

and packaged into pre-labeled food-safe sealable plastic bags. Each participant received all three

prebiotics throughout the study; inulin at 9g / day, wheat dextrin at 9g / day, and

galactooligosaccharides (GOS) at 3.6g / day. These doses correspond to the recommended daily

intake on the product label. In order to further minimize the possibility of discomfort associated

with consuming prebiotics, the first day of dosing for each prebiotic was a half dose to allow

acclimation (4.5g for inulin and dextrin, 1.8g for GOS). Participants consumed one of the three

prebiotics at a time, twice a day, for a duration of five days, followed by a week of washout. The

order was determined by their assigned study arm. Participants were instructed to consume the

prebiotics by mixing the powders in any kind of beverage (such as water) or food (such as

applesauce), so long as it was cold or room temperature.

Compliance and side effects:

Surveys suggested participants complied with the design of the prebiotic intervention.

After each prebiotic intervention week (weeks 2, 4, and 6), participants were sent a survey that

asked about missed doses. 26 of 28 participants responded to the surveys, with an average of

2.77 out of 3 surveys being returned. Of the 72 person-weeks surveyed, 18 included missed

doses. Of 720 doses surveyed, 26 were missed, indicating a study average missed dose rate of

3.6%. No respondent missed more than 14% of doses over the course of the study, and none

missed more than 30% of doses during any intervention week.

176   Side-effects reporting also provided evidence that participants consumed the prebiotics.

After each prebiotic intervention week, participants were sent a survey that asked about side

effects. When asked to identify what extent they agree with the statement "The prebiotic caused

my gastrointestinal discomfort, 7 out of 23 respondents indicated that they 'agree' with this

statement (as opposed to 'neither agree nor disagree', 'disagree', and 'strongly disagree') during

the inulin supplementation week. For GOS and dextrin, 3 of 25 and 4 of 24 indicated agreement.

When asked whether the prebiotic affected the specific symptoms of abdominal pain, bloating,

flatulence, nausea, reflux/heartburn, and borborygmi, fewer than 20% of participants reported

'increased' or 'greatly increased' symptoms, except in the case of flatulence (all prebiotics) and

abdominal pain (inulin). 12 of 23 respondents indicated increased or greatly increased flatulence

on inulin, 6 of 25 on GOS, and 8 of 24 on dextrin. Six of 23 respondents indicated increased

abdominal pain on inulin, compared of none on GOS and 2 on dextrin. There were no differences

in self-reported weekly average Bristol stool hardness between baseline and any of the three

prebiotic interventions ($p = 0.61$, 0.20, and 0.38 for inulin, GOS, and dextrin, respectively; paired

t tests).

191   Consistent with the notion that prebiotic impacts are stronger in individuals who tend to

consume less fiber, we found evidence of a higher likelihood for side effects in those individuals

who habitually consumed less fiber. Participants who indicated that GOS or Dextrin increased

('greatly increased' or 'increased') flatulence had significantly lower habitual fiber consumption

than did those participants who indicated that GOS or Dextrin decreased or did not affect

flatulence ('did not affect' or 'reduced') (p = 0.006 and p = 0.045 for GOS and Dextrin,

respectively; t-test). This affect was not present for inulin (p = 0.45). Similarly, Participants who

indicated that GOS or Dextrin increased ('greatly increased' or 'increased') borborygmi had

significantly or nearly significantly lower habitual fiber consumption than did those participants

who indicated that GOS or Dextrin decreased or did not affect borborygmi ('did not affect' or

'reduced') (p = 0.065 and p = 0.019 for GOS and Dextrin, respectively; t-test). This affect was

not present for inulin (p = 0.64). Further, fiber consumption other than the provided supplement

did not change over the course of the study (p = 0.15, ANOVA).

Stool collection:

At the pre-study visit, participants were provided with a standard urine specimen collection cup

and shown to a bathroom to collect the sample. Urine samples were also sent to LabCorp in a BD

Vacutainer UA tube to measure metabolic variables, including routine urinalysis, sodium,

potassium, urea nitrogen, and creatinine. Consented participants were asked to self-collect stool

three times a week at home using sampling kits provided to them. Participants were asked to

immediately store samples in their personal freezers (-20C). Participants were asked to bring

stored samples to the David Lab freezers on a weekly basis. Stool samples were transferred and

stored at -80C until thawed for DNA extraction and other sample processing.

In vitro fermentation:

In vitro fermentation of stool microbiota was conducted following protocols previously

published (41). This method has been shown to be robust to the effects to the effects of freezing

stool, with total SCFA production remaining correlated between fresh stool and stool frozen and

thawed up to two times (41), and butyrate production remaining correlated between fresh stool

and stool frozen once (p = 0.0004, ρ = 0.49, Spearman correlation), as were samples in this

study. In brief, a 10% w/v fecal slurry was made using thawed week-1 stool and anaerobic 1X

PBS (pH 7.0 ± 0.1). This slurry was filtered through 0.33mm pore size mesh, then mixed 1:1

with a 1% w/v solution of prebiotic and incubated in duplicate in a 24-well cell culture plate for

24hr. We expect these *in vitro* fermentations to represent the non-adherent microbial fraction of

stool, as well as bacteria adhered to smaller particles that pass through a 0.33mm filter. Three

prebiotic treatments were used, corresponding to the three prebiotics used in the *in vivo* portion

of this study: inulin (Now Foods Inulin Powder, part #2944), galactooligosaccharides (GOS;

Bimuno Powder), and wheat dextrin (Benefiber Original). The resulting fermentation conditions

where therefore 5% fecal slurry with 0.5% prebiotic (w/v) and occurred at 37°C for 24 hours.

Following fermentation, a 1mL aliquot was taken from each well for SCFA quantification.

Quantification of SCFA:

Quantification of SCFA by gas chromatograph flame ionization detection (GCFID) was

performed following protocols previously published (41). In brief, a 1mL aliquot of either 10%

fecal slurry in PBS or a 10% solution of the fermentation vessel contents was obtained. To this,

50 μL of 6N HCl was added to acidify the solution to a pH below 3. The mixture was vortexed,

centrifuged at 14,000rcf for five minutes at 4°C to remove particles. Avoiding the pellet, 750 μL

of this supernatant was passed through a 0.22μm spin column filter. The resulting filtrate was then

transferred to a glass autosampler vial (VWR part #66009-882).

Filtrates were analyzed on an Agilent 7890b gas chromatograph (GC) equipped with a

flame-ionization detector (FID) and an Agilent HP-FFAP free fatty-acid column (25m x .2mm id

x .3μm film). Acetate, propionate, isobutyrate, butyrate, isovalerate, and valerate were identified

and quantified in each sample by comparing to an 8-point standard curve that encompassed the

sample concentration range. Standards contained 0.1mM, 0.2mM, 0.5mM, 1mM, 2mM, 4mM,

8mM, and 16mM concentrations of each SCFA. Once measured, the SCFA concentrations were

multiplied by a scaling factor of 10 to return them to their undiluted value. We report SCFA

concentrations as mM, however, based on our methodology using a standardized stool mass /

diluent ratio, these mM measurements are quantitatively equivalent to mmol/kg (*e.g.* 5mM is equal

to 5mmol/kg).

DNA extraction, PCR amplification, and sequencing:

We performed 16S rRNA gene amplicon sequencing on human stool samples to determine

microbiota community composition following protocols previously published (41). DNA was

extracted from frozen fecal samples with the Qiagen DNeasy PowerSoil DNA extraction kit (ID

12888-100). Amplicon sequencing was performed using custom barcoded primers targeting the

V4 region of the 16S rRNA gene (46), using published protocols (46-48). The sequencing library

was diluted to a 5pM concentration and sequenced using an Illumina MiniSeq and a MiniSeq Mid

Output Kit (FC420-1004) with paired-end 150bp reads.

Identifying sequence variant and taxonomy assignment:

We used an analysis pipeline with DADA2 (49) to identify and quantify sequence

variants, as previously published (41, 50). To prepare data for denoising with DADA2, 16S

rRNA gene primer sequences were trimmed from paired sequencing reads using Trimmomatic

v0.36 without quality filtering (51). Barcodes corresponding to reads that were dropped during

trimming were removed using a custom python script. Reads were demultiplexed without quality

filtering using python scripts provided with Qiime v1.9 (52). Bases between positions 10 and 150

were retained for the forward reads and between positions 0 and 140 were retained for the

reverse reads. This trimming, as well as minimal quality filtering of the demultiplexed reads was

performed using the function fastqPairedFilter provided with the DADA2 R package (v1.8.0).

Sequence variants were inferred by DADA2 independently for the forward and reverse reads of

each of the two sequencing runs using error profiles learned from all 20 samples. Forward and

reverse reads were merged. Bimeras were removed using the function removeBimeraDenovo

with default settings. Taxonomy was assigned using the function assignTaxonomy from

DADA2, trained using version 123 of the Silva database.

Statistics and modelling:

All statistical analyses and modelling for this study were conducted in R (R version 3.4).

T-tests, Wilcoxon Rank-Sum tests, Spearman correlations, Pearson correlations, and ANOVA

tests were conducted with base R. PERMANOVAs were carried out with the 'adonis2' function

from the R package 'vegan'. Differential abundance tests were carried out using the R package

'ALDEx2'. Linear models, and generalized linear models were implemented with the 'lm' and

'glm' functions from base R. Generalized linear mixed models (GLMM) were implemented with

the 'glmer' function from R package 'lme4'. P values for effects in linear models and

generalized linear models were calculated using the 'summary' function in base R on fitted 'lm'

and 'glm' objects and are based on F-tests. P values for effects in GLMMs were calculated using

the 'summary' function (base R) on fitted 'glmer' objects, and are based on Wald Z-tests. All R

code used to analyze the data presented in this manuscript is freely available on a publicly

accessible repository (https://doi.org/10.6084/m9.figshare.c.5405505).

Results

Study Participants. We enrolled participants into a six-week, three-period prebiotic intervention

study (Figure 1). We used a crossover design to compare multiple prebiotics across a subject

pool. We selected inulin, wheat dextrin, and galactooligosaccharides (GOS) as our prebiotics, as

these are commonly consumed (53), commercially available dietary supplements, and are

monomerically distinct. Our crossover was standardized in series and period, with each prebiotic

occurring the same number of times within each series (once) and study period (twice). The

design was also balanced with respect to first-order carry-over effects, meaning we shuffled the

order in which prebiotics were administered so as to minimize the interactive effects between

any two pairs of consecutive prebiotics. Each study period consisted of an intervention-free

baseline week and a prebiotic intervention week. Stool samples were collected on days three,

four, and five of each of the six study weeks (baselines and intervention). Of the 41 participants

who initially enrolled, two withdrew, three were unable to collect at least one usable sample (i.e.,

insufficient volume or inadequate labeling) per week, and eight were lost to follow-up. We

focused our subsequent analyses on the remaining 28 participants who completed the study.

These participants in total collected 413 stool samples (mean=2.46 stool samples per person per

week).

Prebiotic supplementation affected SCFA production at the cohort-level. We first sought to

examine differences in microbiome response during each of the different prebiotic treatments.

Analyses of gut microbial community composition did not reveal associations with inulin, GOS,

or wheat dextrin treatment ($p > 0.05$, PERMANOVA using unweighted UniFrac distance at

species level). In addition, no species were statistically differentially abundant during any

prebiotic intervention and its corresponding prebiotic-free baseline ($p > 0.05$, Benjamini-

Hochberg corrected Wilcoxon Rank Sum tests using the R package ALDEx2). While previous

studies have observed changes in community composition following prebiotic administration,

such effects have been observed in a subset of tested prebiotics (30, 32), and with different

dosing schedules (30-32, 38). We also did not observe lasting shifts in community composition

over the course of the study at the cohort level, as baseline weeks three and five did not differ

from baseline week one by PERMANOVA ($p = 0.995$ and 0.999, respectively).

Still, in contrast to the lack of a coherent 16S rRNA gene shifts among participants, we

found the three prebiotics varied according to resulting fecal SCFA profiles relative to baseline.

GOS was associated with decreased total stool SCFA concentrations (Table 1, Figure S1C, effect

size = -0.071, $p = 0.038$, GLMM), an outcome that has been previously observed (54).

Differences within individual SCFAs were also apparent when analyzing absolute fecal SCFA

concentrations (Table 1). Dextrin increased propionate concentration (effect size = 0.074, $p =$

0.038, GLMM), and GOS decreased both propionate and butyrate concentrations (effect size = $-$

0.087, $p = 0.015$; effect size = -0.14, $p = 0.002$, GLMMs, respectively). Still, changes in total and

individual SCFA concentrations may be caused by effects of stool hydration, which can vary up

to three-fold and directly impacts measures of SCFA concentration in feces (55, 56). To assess

the relative production of each SCFA, we therefore normalized levels of individual SCFAs to

account for differences in stool hydration. Our resulting analysis found that inulin

supplementation increased proportional butyrate concentrations (butyrate concentration / total

SCFA concentration) in participants' stool (effect size = 0.082, p = 0.007, GLMM; Figure 2,

Table 1). These findings are consistent with prior reports that inulin supplementation may

increase butyrogenesis (57-59). Our analyses also suggested GOS and wheat dextrin decreased

proportional butyrate concentration in participants' stool (GOS; effect size = -0.074, p = 0.012.

Dextrin; effect size = -0.071, p = 0.015, GLMM; Figure 2, Table 1). These findings align with

prior trials that found both GOS (54, 60, 61) and dextrin (62, 63) increases acetate production

over more reduced SCFAs, including butyrate and propionate, potentially by shunting nutrients

away from butyrate production. No prebiotic altered proportional acetate or proportional

propionate concentration at the cohort level (p > 0.05, GLMM; Figures S1A and S1B, Table 1).

Butyrogenic responses are more strongly predicted by individual identity than by prebiotic.

We next investigated how prebiotic responses varied among individuals. We focused our

analysis on prebiotic impacts on butyrate production because it was the sole SCFA that was

altered at the cohort-level, and it is also the microbially derived SCFA most commonly

implicated in enteric health (2, 6-8, 64-67). We also focused on proportional butyrate

concentrations to avoid the effects of stool hydration on our analysis and to be consistent with

previous individual-level analyses of fecal SCFAs (32, 43). In line with prior studies of prebiotic

response, (41) statistical modeling yielded evidence for individual-specific butyrogenic

responses to each of the prebiotics (that is, an interaction between individual and prebiotic terms

in a GLMM). Nonetheless, further analyses suggested that the strongest determinant of

proportional butyrate responses was shaped by individual identity: individual-specific effects

(pseudo-R^2 = 0.39, p < 0.0001; GLM F-test) were much stronger than prebiotic-specific effects

(pseudo-R^2 = 0.05, p = 0.001; GLM F-test). Additionally, individuals who exhibited the largest

response in proportional stool butyrate concentration on inulin were more likely to exhibit larger

responses on dextrin (ρ = 0.45, p = 0.015, Spearman correlation; Figure 3). We observed a

similar, positive, non-significant correlation between dextrin and GOS (ρ = 0.35, p = 0.065).

This relationship was not observed for inulin and GOS (ρ = 0.12, p = 0.53). This pattern was

apparent in spite of correcting for baseline differences in SCFA production between individuals,

which were also consistent over time and between baseline and treatment weeks.

Individuals consistently varied according to SCFA metabolic state, microbiota community

composition, and SCFA production potential. Why might individual-specific effects be

stronger than prebiotic-specific effects in our cohort? We observed that individuals were

idiosyncratic in their SCFA profiles over time. Both proportional butyrate concentration and

butyrate concentration were correlated within individuals between the first and last baseline

weeks (ρ = 0.49, p < 0.007; and ρ = 0.63, p = 0.0003, respectively, Spearman correlations;

Figure S2). Variation between individuals' SCFA profiles could also be linked to inter-individual

microbiota variation, a well-known factor in prebiotic response (43). When we divided

participants into 'high' (> median) and 'low' (<= median) fecal butyrate groups, we observed a

significant effect of this grouping on microbiota community composition (R^2 = 0.075, p =

0.0022, PERMANOVA using unweighted UniFrac distance; Figure S3). We identified three

specific genera that were differentially abundant between the groups: *Anaerofilum* and

Ruminiclostridium_5 were decreased in the high butyrate group, and *Lachnospira* was increased

in the high butyrate group (p = 0.009, .043, and 0.030, respectively; Benjamini-Hochberg

corrected Wilcoxon Rank Sum tests; Figure S3). We additionally observed a relationship

between baseline microbiota community structure and average response to all three prebiotics

(Δ%butyrate). After dividing participants into 'responders' and 'non-responders', based on

whether average Δ%butyrate was positive or negative, we found a significant effect of this

grouping on microbiota community composition ($R^2 = 0.059$, $p = 0.028$, PERMANOVA using

unweighted UniFrac distance; Figure S4). Thus, individuals' starting microbiome composition

was associated with prebiotic treatment outcome.

Baseline intake patterns of dietary fiber negatively correlated with response to prebiotic

intervention.

Next, we sought to understand what host factors might influence individuals' microbiomes and

ultimately shape their butyrogenic responses across the tested prebiotics. We focused on fiber

intake, which has been shown to shape microbiota community composition and metabolic output

(68, 69). We measured fiber consumption using a dietary questionnaire spanning the month

preceding the study (44), and we compared fiber intakes to each individual's average response to

the three prebiotic interventions (average Δ%butyrate). Despite prior studies suggesting that

plant or fiber intake would augment gut microbial metabolic capacity (38, 69-71), our

comparison revealed that dietary fiber consumption was negatively correlated with average

Δ%butyrate ($\rho = -0.40$, $p = 0.046$; Spearman correlation; Figure 4A). Thus, higher habitual fiber

intake was associated with a lower average Δ%butyrate during the prebiotic intervention. To

corroborate these findings using an objective biomarker, we also compared average Δ%butyrate

to baseline spot urinary potassium, a known marker for fruit and vegetable intake (72), as well as

for general healthy eating (73, 74). We validated that baseline spot urinary potassium was

correlated with dietary fiber intake in our study ($\rho = 0.47$, $p = 0.031$; Spearman correlation;

Figure S5A). While we found no significant correlation between baseline spot urinary potassium

and average Δ%butyrate ($\rho = -0.38$, $p = 0.071$; Spearman correlation; Figure S5B), the

magnitude and direction of effect suggests a statistical relationship may have been apparent with

a larger sample size.

Observational evidence that baseline SCFA metabolic state and dietary history limits

prebiotic response. To understand why habitual fiber intake would be negatively associated

with prebiotic responses, we considered recent ecological studies suggesting that nutrient

limitation is a key factor shaping the metabolism of mammalian gut microbiota (75, 76). Even if

excess fiber is available to polysaccharide utilizing microbes, fixed caps in the availability of

other nutrients involved in carbohydrate fermentation could ultimately affect the relative

production of different SCFA species. Such relative changes would be caused by differences in

the oxidation state of SCFAs. Acetate is the most oxidized SCFA and tends to be produced first

and in higher quantities during fermentation (76-78). By contrast, butyrate is the most reduced

(76, 78) and the least energetically favorable (76) primary SCFA for the microbe to produce.

Thus, changes to overall SCFA production should be associated with changes in proportional

butyrate (76-78); and, by extension, individuals who naturally consume high levels of fiber and

already activate SCFA production pathways would exhibit reduced capacity to increase

proportional butyrate levels following prebiotic treatment.

420   We identified three findings that were consistent with a threshold model of metabolic

capacity limitation. First, we observed that individuals with higher starting proportional

concentrations of butyrate exhibited the weakest butyrogenic prebiotic responses. ($p = 0.008$, ρ

= -0.49, Spearman correlation; Figure 4B). In our study, no participant ultimately exhibited

butyrate concentrations in excess of 29mM following prebiotic treatment (though we note that

higher upper limits (e.g. greater than 40mM) have been previously observed (30)).

A second finding linking background nutrient intake and metabolic limitation involved

baseline proportional butyrate concentrations and habitual diet. Dietary fiber consumption was

positively correlated with proportional butyrate concentration at baseline week 1, prior to any

prebiotic intervention (1g fiber/2000 kilocalorie diet led to an increase in proportional butyrate

concentration of 0.010, p = 0.012, beta regression; Figure S6) as has been previously suggested

(33, 37, 79). Furthermore, using an ecological technique for identifying relationships between

multivariate datasets known as co-inertia analysis (80), we found a significant interaction

between baseline proportional SCFA concentrations and food choices(p = 0.031, coinertia

analysis). This analysis involved comparing patterns in the abundance of short chain acids and

food intake across matched samples (Figure 5A). Coinertia analysis associated the intake of

several fiber-rich food groups with baseline proportional butyrate concentrations including

legumes, berry fruits, and dark-green vegetables (vectors pointing towards the top-left in Figures

5B, C).

Culture-based experimental evidence links fiber intake to limits on microbiome metabolic

response. A third line of experimental evidence arose linking habitual nutrient intake and

microbial SCFA production capacity. We hypothesized that if higher baseline fiber consumption

reduced the capacity of gut microbiota to increase proportional butyrate production from

prebiotics, the metabolic activity of fecal microbiota would exhibit a negative relationship with

fiber intake. To test this hypothesis, we applied a recently developed an *ex vivo* fermentation

model (41) to baseline stool samples collected from each study participant. This model

experimentally tests the metabolic effects of supplementing a microbial community using a

given prebiotic as the sole additional carbon source, independent of potentially confounding host

factors like SCFA absorption, and has been shown to be robust to the effects of freezing stool

(41). We note that while our *in vivo* measurements rely on proportional SCFA concentrations

due to the potentially confounding effects of factors like stool hydration, these *in vitro* measures

allow us to directly measure absolute SCFA levels as an indicator of metabolic activity and

prebiotic utilization. In support of the model's capability to produce SCFAs following prebiotic

administration, we observed an increase in overall SCFA production relative to control ($p <$

0.0001, t-test; average of 4.41-fold increase across participants, calculated using the average

total SCFA concentration of three separate prebiotic treatments) when the *in vitro* assays were

supplemented with prebiotics as the sole carbon source. When we compared SCFA production

to fiber intake, we observed as expected a negative correlation between fiber consumption and

SCFA production ($p = 0.021$, $\rho = -0.46$, Spearman correlation using average of three prebiotic

treatments; Figure 4C). We also observed a negative correlation between fiber consumption and

SCFA production in prebiotic-free control treatments ($p = 0.019$, $\rho = -0.47$, Spearman

correlation; Figure S7). Thus, individuals who tended to eat more fiber in our cohort also

harbored gut microbiota that produced less SCFA when exposed to prebiotics. Still, we note that

a relationship was not observed when *in vitro* %butyrate was compared to baseline fiber

consumption ($p = 0.37$, Spearman correlation). This negative result may reflect the inability of

our *in vitro* assays to capture metabolic tradeoffs affecting the relative production of different

SCFAs following prebiotic challenge *in vivo*.

Consistent growth of specific microbial genera supports individual-specific prebiotic response. Next, we used our *ex vivo* fermentations to associate specific gut bacterial taxa with prebiotic response. Following 24hr fermentation, microbial community composition was assayed from each prebiotic-supplemented culture and compared to no-carbon-added control cultures, for each of the 28 participants, using ALDEx2. This analysis revealed multiple genera that were over or under-represented in each prebiotic treatment (Figure 6).

Additionally, most genera that were differentially abundant in one prebiotic treatment exhibited similar differential abundance in the other prebiotic treatments. This result is consistent with prior studies finding that fiber-degrading bacteria capable of degrading a breadth of dietary carbohydrates ("generalists") are abundant in the gut (81). Indeed, all genera exhibiting conserved higher abundance in two or three prebiotic treatments compared to control (*Collinsella*, *Faecalibacterium*, *Lachnospiraceae_UCG-005*, *Marvinbryantia*, and *Ruminiclostridium*) are known degraders of common dietary fibers with broad specificity (82-84). By contrast, of the genera exhibiting conserved lower abundance in two or three prebiotic treatments compared to control (*Alistipes*, *Anaerofilum*, *Flavonifractor*, *Holdemania*, and *Parabacteroides*), we are not aware of reports linking them to degradation of inulin, dextrin, or GOS, and only *Parabacteroides* has been shown to degrade any dietary fiber (82, 84). We do note though that we did not observe the aforementioned genera to be associated with prebiotic responses in our *in vivo* data. Such findings suggest that other behavioral or lifestyle factors not captured by *in vitro* assay contribute to variation in microbiome response to prebiotics in humans.

Overall, the consistent response of select bacterial taxa to prebiotic addition *in vitro*

further supports the conclusion that responses across a range of prebiotics will be linked to

individual-specific factors like gut microbial community composition.

Discussion

In this study, we administered the prebiotics inulin, GOS, and dextrin to a set of

individuals using a fully balanced crossover design. We found that these prebiotics varied in

their impact on fecal SCFA concentrations when data was agglomerated at the population scale,

with inulin increasing proportional butyrate and both GOS and wheat dextrin decreasing

proportional butyrate. Yet, our analysis also suggested that individual identity exerted a much

stronger effect on prebiotic response, and we observed that responses to each prebiotic were

correlated within individuals. Individual response variation was associated with differences in

baseline microbiological and dietary factors. In particular, we found that proportional

butyrogenic response to prebiotics was anti-correlated with habitual fiber intake. We confirmed

the involvement of the microbiota (as opposed to the host) in this relationship using *in vitro*

fermentation experiments. This negative relationship may be explained by limitations in the

butyrate production capacity of human gut microbiota.

From a microbial ecological perspective, our findings support a model where microbial

metabolic repertoires within individuals' microbiota have the capacity to utilize a diverse array

of chemically distinct fiber types. Evidence in favor of this model include *in vitro* prebiotic

screens suggesting that individuals uniformly harbor bacteria capable of degrading a wide variety

of carbohydrate species (81). Such metabolic plasticity may benefit gut microbiota by enhancing

community stability and invasion resistance (85-87), and could be enabled by substrate-

switching at the level of strains (87, 88) or cross-feeding interactions (89). Still, differences in

the levels of strains underlying these metabolic interactions may vary between individuals (81,

90), which could in turn lead to inter-individual variation in the capacity of individuals'

microbiota to ferment prebiotics.

The nutritional implications of our work were, in our view, more surprising. A positive

relationship between dietary fiber consumption and microbiota community structure (91), and

metabolic function (69, 92-94) is well established, with higher fiber intake linked to greater

SCFA and, specifically, butyrate production. Thus, we expected that individuals habituated to a

high-fiber diet would have a greater capacity to utilize incoming novel fiber towards increasing

proportional butyrate production, not a lower capacity as we observed. Still, prior studies

reporting links between diet patterns and microbiota response have specifically associated

changes to microbial community composition with baseline fiber intake (38). Associations

between fiber consumption and SCFA production, by contrast, have either not been tested for in

prebiotic trials (95, 96) or not revealed a positive relationship (38). Additionally, while our

analyses confirmed an association between baseline proportional butyrate levels and intake of

plant foods groups linked to dietary fiber (e.g. legumes and dark green vegetables, Figure 5), it

also linked food groups typically associated with a Mediterranean diets (e.g. seafood, dairy, fruit,

and poultry (97)) with higher baseline levels of proportional acetate (Figure 5).

In light of the surprising nature of our findings, it is necessary to fully explore other

potential drivers of this negative relationship between baseline fiber consumption and prebiotic

response. One major concern is the potential for biased study compliance, where those

individuals consuming the most fiber habitually were the least compliant to consuming prebiotic

supplements. We found evidence to the contrary and observed an overall missed-dose rate of

only 3.6% based on self-report during post-intervention surveys. Importantly, participants were

not compensated for their participation in this study, so falsifying compliance surveys was

minimally incentivized. We also found that side-effects were not more likely in high baseline

fiber consumers, providing further evidence that high fiber consumers were not more likely to

skip prebiotic doses. Another concern is that the prebiotic supplements caused behavioral or

physiological alterations disproportionately. However, we found that habitual fiber consumption

did not decline throughout the study, and no differences in self-assessed Bristol stool hardness

were observed. Together, this evidence bolsters our confidence in concluding that the observed

negative relationship between baseline fiber consumption and butyrogenic response to prebiotics

is real and driven by microbiological factors. We also acknowledge our modest sample size of 28

individuals, and note that some additional relationships may become apparent with greater

statistical power. Future and larger prebiotic trials are needed to determine the generality of our

observed association between habitual diet and SCFA production.

Conclusions

Our study provides evidence that the responsiveness of an individual to prebiotic

treatment may be predictable from diet and baseline concentrations of SCFA in stool. We

emphasize that we do not believe these predictions should be used to modify the diets of

individuals who normally consume high levels of fiber or have higher concentrations of SCFA in

stool. Ample evidence supports the benefits of both a high fiber diet and adequate microbial

SCFA production (71, 98, 99). Rather, we argue our findings support strategies for personalizing

microbiota therapy that focus on individual selection. Prior work on prebiotic responses have

primarily used human studies with parallel design (30, 32, 39), which do not allow analysis of

individualized response across prebiotics. Here we show, we believe for the first time, that the

responses within individuals are correlated across at least some pairs of prebiotics, and that

average response correlates with host factors. Ongoing prioritization efforts are being used to

identify patients most likely to respond to microbiota-directed and microbiota-dependent disease

therapies (100-103), and are also being explored to enhance prebiotic therapy (30, 70, 93, 94).

Our study here suggests that such efforts to personalize prebiotic supplementation can rely on

dietary history and fecal metabolite levels as informative and non-invasive biomarkers of

treatment outcome.

List of Abbreviations

DHQ3: diet history questionnaire, version 3

GCFID: gas chromatograph – flame ionization detector

GLM: generalized linear model

GLMM: generalized linear mixed-effects model

GOS: galactooligosaccharides

SCFA: short-chain fatty acids

USDA: United States Department of Agriculture

Declarations

Ethics approval and consent to participate

All recruitment and study procedures involving human subjects were approved by the

Duke University Institutional Review Board (Pro00087214). All subjects provided electronic

informed consent prior to enrollment.

Consent for publication

    Not applicable.

Availability of data and materials

    The datasets generated and analyzed during the current study, along with analytical code, are either included in the supplement or available in the figshare repository, https://doi.org/10.6084/m9.figshare.c.5405505. The raw sequencing data is available on the National Center for Biotechnology Information (NCBI) Sequence Read Archive (SRA) under the accession PRJNA834995.

Competing interests

    The authors declare that they have no competing interests.

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collection, analysis, or interpretation of the data nor in writing the manuscript.

Authors' contributions

ZH, MV, JS, LD, and HD conceptualized and designed the study. HD, ZH, SJ, and LD

coordinated recruitment and engaged with participants. ZH was blinded to participant identity

and study arm assignment where possible. ZH, SJ, ED, and HD processed samples, ran *in vitro*

fermentation assays, and analyzed samples via gas-chromatography and sequencing. PHL and

BP supported collection and analysis of nutrition data. ZH analyzed all data. ZH and LD wrote

the manuscript. All authors read and approved the manuscript.

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Figures

Figure 1: Prebiotic trial design. A three-period crossover design was standardized in series and
period, with each prebiotic occurring the same number of times within each arm (once) and study
period (twice). The design was also balanced with respect to first-order carry-over effects,
meaning prebiotics were administered in all possible orders. Each of the three periods consisted
of a prebiotic-free week followed by a prebiotic-supplemented week. Six study arms
encompassed all possible orders of prebiotic supplementation, and subjects were assigned to
arms sequentially by time of enrollment, resulting in approximately equal numbers of individuals
in each arm. A total of 41 participants were enrolled and 28 were considered to have completed
the study.

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Figure 2: Effects of prebiotic supplementation on proportional butyrate concentration of
stool. Plotted are the average proportional butyrate concentrations for each study participant
during each prebiotic intervention period (up to three samples per person per week), and the
average of all three baseline weeks (up to nine samples per person). Inulin was associated with
significantly increased proportional butyrate concentration of stool averaged across individuals,
while both dextrin and GOS were associated with decreased proportional butyrate relative to
control (dashed line) (generalized linear mixed model). A proportional butyrate concentration
value of 1 = 100%.

	Control	Inulin		GOS		Dextrin	
	Median [min – max]	Median [min – max]	p	Median [min – max]	p	Median [min – max]	p
CONCENTRATION							
Acetate (mM)	47.4 [5.6 – 102.1]	46.9 [11.6 – 94.1]	0.52	47.2 [14.8 – 80.0]	0.18	50.6 [10.9 – 94.7]	0.39
Propionate (mM)	13.1 [3.2 – 37.8]	13.1 [5.7 – 21.8]	0.41	12.3 [2.6 – 26.0]	**0.015**	14.4 [5.7 - 29.6]	**0.038**
Butyrate (mM)	12.1 [2.8 – 40.3]	12.4 [4.1 – 34.5]	0.26	10.2 [4.1 – 29.5]	**0.002**	10.9 [4.6 – 31.3]	0.29
Total SCFA (mM)	75.1 [15.6 – 153.7]	72.7 [27.9 – 131.1]	0.67	68.6 [25.6 – 114.4]	**0.038**	76.4 [21.1 – 145.4]	0.51
PROPORTION							
Acetate (%)	64.6 [41.9 - 77.9]	63.7 [22.1 - 74.6]	0.21	65.9 [45.9 – 86.8]	0.19	65.7 [44.5 – 74.9]	0.43
Propionate (%)	18.4 [9.6 - 36.2]	19.6 [8.1 – 34.7]	0.63	18.8 [4.5 – 35.4]	0.70	20.1 [10.3 – 36.4]	0.31
Butyrate (%)	16.1 [8.0 – 32.9]	18.0 [11.2 – 55.1]	**0.009**	15.3 [8.6 - 28.0]	**0.027**	14.6 [10.4 – 30.4]	**0.006**

659 **Table 1: Concentrations and proportions of SCFA in stool during prebiotic and control**
660 **weeks, averaged across individuals**. Significance was determined by generalized linear mixed
661 models (see methods). Concentrations of stool expressed as mM are equivalent to mmol/kg (see
662 methods).

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Figure 3: Individual changes in proportional butyrate concentration (Δ%butyrate)
compared across multiple prebiotics. Changes in Δ%butyrate were positively correlated when
comparing responses to dextrin and inulin ($\rho = 0.45$, $p = 0.015$; Spearman correlation), as well as
responses to dextrin and GOS ($\rho = 0.35$, $p = 0.065$). The relationship between inulin and GOS
response trended towards a positive association ($\rho = 0.12$, $p = 0.53$). A proportional butyrate
concentration value of $1 = 100\%$.

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Figure 4: Relationships between habitual diet, baseline proportional butyrate concentration, and metrics of SCFA production. (A) Average change in proportional butyrate concentration of stool during intervention (Δ%butyrate) was negatively correlated with habitual dietary fiber consumption (ρ = -0.40, p = 0.046; Spearman correlation). (B) Average Δ%butyrate was also negatively correlated with baseline proportional butyrate concentration (ρ = -0.49, p = 0.008; Spearman correlation). (C) This relationship between habitual fiber consumption and SCFA production from prebiotics was also observed *in vitro* (ρ = -0.46, p = 0.021; Spearman correlation).

Figure 5: Relationship between baseline SCFA profiles and habitual intake of food groups.
(**A**) Baseline SCFA profiles and average food intakes among participants. Participants (rows) clustered based on proportional SCFA profiles. Cells values represent z-scores within each column. Loadings shown of proportional SCFA concentrations (**B**) and consumed food groups (**C**) along canonical axes one and two resulting from co-inertia analysis of SCFA and diet data (p = 0.031). Each axis is represented identically in each plot, so that eigenvectors (direction of arrows) correspond between the SCFA and food group plots and the magnitude of eigenvalues (length of arrows) is related to the strength of that component in the axis loading.

Figure 6: Gut bacterial taxa whose abundance changes during prebiotic-supplemented *ex vivo* fermentation. Bacterial abundances were compared to prebiotic-free control fermentation. Colors represent the number of prebiotic conditions in which a genus was differentially abundant (Benjamini-Hochberg corrected q value < 0.2, visualized with horizontal dashed line). Effect size estimate as reported by ALDEx2 is the median difference between groups (prebiotic and control) divided by the maximal difference within either group, in clr-transformed coordinates.

701 <u>Supplementary figures and tables</u>

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703

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706
707 **Figure S1: Proportional Acetate (A), proportional propionate (B), and total SCFA (C)**
708 **concentrations during baseline and prebiotic interventions.** All significant differences
709 between prebiotic treatments and control are designated by displayed p values, calculated using a
710 series of generalized linear mixed models. *A proportional SCFA concentration value of 1 =*
711 *100%.*

712
713 **Figure S2: Average proportional butyrate concentration (A) and average butyrate**
714 **concentration (B) in participant stool during the first and last week of the study.** Both
715 proportional concentration and raw concentration were correlated between the first and last
716 weeks ($\rho = 0.49$, $p < 0.007$; and $\rho = 0.63$, $p = 0.0003$, respectively, Spearman correlations).
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Figure S3: Biplot of stool 16S rRNA gene community composition showing samples (dots)
719
plotted on two principal component axes along with corresponding taxonomic variables
720
(arrows), agglomerated to genus level. Samples are colored by group (high and low; > median
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baseline %butyrate and <= median baseline %butyrate, respectively) and ellipses represent 95%
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confidence intervals of the centroid for each group. Centroids are significantly different (p =
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0.0022; PERMANOVA using unweighted UniFrac distance). Only significantly differentially
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abundant genera (Benjamini-Hochberg corrected q < 0.05, ALDEx2) are represented by arrows
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and labels.
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Figure S4: PCA of stool 16S rRNA gene community composition showing samples plotted
on two principal component axes. No genera were significantly differentially abundant
(Benjamini-Hochberg corrected q < 0.05, ALDEx2), so no variables are plotted. Samples are
colored by group (high and low; > 0 average butyrogenic response to prebiotics and < 0 average
butyrogenic response to prebiotics, respectively) and ellipses represent 95% confidence intervals
of the centroid for each group. Centroids are significantly different (p = 0.028; PERMANOVA
using unweighted UniFrac distance).

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Figure S5: Relationships between baseline urinary potassium and (A) habitual dietary fiber
consumption, and (B) average change in proportional butyrate concentration during
prebiotic interventions. Baseline urinary potassium was positively correlated with habitual fiber
consumption ($\rho = 0.47$, $p = 0.031$; Spearman correlation; A) and showed evidence for a negative
correlation with average change in proportional butyrate concertation during prebiotic
interventions ($\rho = -0.38$, $p = 0.071$; Spearman correlation; B).

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746 **Figure S6: Relationship between habitual dietary fiber consumption and baseline**
747 **proportional butyrate concentration at week one (prior to study intervention).** Fiber
748 consumption was positively associated with baseline proportional butyrate concentration, with
749 1g fiber/2000 kilocalorie diet associated with an increase in proportional butyrate concentration
750 of 0.010 (p = 0.012, beta regression). A proportional butyrate concentration value of 1 = 100%.

Figure S7: Relationship between *in vitro* SCFA production in prebiotic-free control treatments and habitual dietary fiber consumption. *In vitro* SCFA production was negatively correlated with habitual fiber consumption (ρ = -0.43, p = 0.031; Spearman correlation).

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