Gain and loss of plasmid-borne antibiotic resistance genes are associated with chromosomal resistance presence in Enterobacteriaceae

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ABSTRACT

Plasmids are central vehicles for the dissemination of antibiotic resistance genes (ARGs). They are among the most mobile and evolvable genetic elements, with broad host ranges and high rates of gene turnover, making them especially effective in spreading antibiotic resistance across bacterial lineages. Using the phylogeny-aware gene gain and loss model applied to 6,895 Enterobacteriaceae genomes, we quantified four evolutionary processes—gene gain, loss, expansion, and reduction—for plasmid-borne genes. We found that, overall, plasmid-borne ARGs (pARGs) exhibit similar gain rates compared with other plasmid genes, but significantly higher expansion and reduction rates. All four processes were strongly species dependent, with only a minor influence of antibiotic class. Further, bacterial clades harboring chromosomal ARGs (cARGs) showed significantly higher acquisition and lower loss of plasmid-borne resistance than did their sister clades lacking corresponding cARGs. Moreover, we found that the IncQ2 backbone was associated with *qnrS2* and exclusively identified in *Leclercia adecarboxylata*, while Col(VCM04) plasmids carrying *mprF* were predominantly (71.4%) distributed within the *Citrobacter* genus. In summary, plasmid-mediated resistance is primarily species-dependent, and cARGs effectively mark lineages with a high capacity for plasmid-borne resistance acquisition.

KEYWORDS antibiotic resistance genes; Enterobacterales; gene gain and loss, plasmid; horizontal gene transfer.

Importance

Plasmids play a central role in the spread of antibiotic resistance genes (ARGs), and

the long-term evolutionary behavior of plasmid-borne ARGs (pARGs) could provide

insights into the emergence of novel multidrug resistance. We studied nearly 7,000

Enterobacteriaceae genomes and show that pARGs evolve through the same gain

processes as other plasmid genes but exhibit markedly higher and species-dependent

copy number changes. Crucially, the strong association between chromosomal and

plasmid ARGs reflect a lineage-level pattern of resistance retention, likely shaped by

historical selective pressures or specific genomic backgrounds. Identifying such

evolutionarily lineages may provide a basis for predicting and monitoring the

emergence of multidrug resistance.

INTRODUCTION

Antibiotic resistance is a major, ongoing challenge in both medicine and evolutionary

biology (1). In bacterial genome evolution, gene gain through horizontal gene transfer

(HGT) and gene loss (via selection) are the primary forces shaping genomic

repertoires (2, 3). Mobile genetic elements (MGEs), particularly conjugative plasmids,

serve as principal vehicles of HGT and are central to the spread of antibiotic resistance

genes (ARGs) (4-6).

Comparative genomic analyses show that plasmid taxonomic units carrying ARGs

exhibit significantly higher mobility, broader host ranges, and elevated rates of

homologous recombination and gene turnover, indicating that resistance dissemination

is facilitated by intrinsically plastic and mobile plasmid lineages (7, 8). Their plasticity

is enhanced by high densities of transposable elements and recombination systems,

which accelerate gene repertoire turnover (9, 10). Moreover, evolutionary innovations

such as replication-control mutations can increase plasmid copy number, thereby

amplifying resistance levels and enhancing transfer efficiency (11). Thus, plasmids are

highly dynamic replicons characterized by frequent horizontal transfer, rapid turnover,

and extensive genetic plasticity (12, 13).

Given their evolutionary plasticity, understanding plasmid-mediated ARG turnover

is particularly critical in clinically important bacterial families such as

Enterobacteriaceae (12). The Enterobacteriaceae family harbors extensive plasmid

diversity and constitutes one of the largest reservoirs of clinically relevant ARGs (14-

16). Members of this family, including *Escherichia*, *Klebsiella*, *Enterobacter*, and

Salmonella, are major contributors to multidrug-resistant infections in hospitals and

communities worldwide (17). Although numerous clinical studies have documented

outbreaks of antibiotic resistance within the Enterobacteriaceae family (16-18), most

of these reports have focused on the dissemination of particular resistance plasmids

or the epidemiology of individual ARGs (19, 20). However, key questions remain as to

how plasmid-borne ARGs in Enterobacteriaceae are maintained and amplified across

lineages, and whether their evolutionary dynamics differ from those of other plasmid-

encoded functions.

Here, we systematically investigate ARG turnover dynamics in

Enterobacteriaceae plasmids by applying a phylogeny-aware birth-death model to

6,895 genomes. Specifically, we (i) quantify the balance of ARG gain, loss, expansion,

and reduction across diverse species, (ii) assess the association between

chromosomal and plasmid-borne resistance repertoires.

RESULTS

81 **Plasmid-borne antibiotic resistance genes show higher expansion and**

82 **reduction rates but similar gain dynamics compared with other plasmid genes**

83 To investigate the evolutionary dynamics driving the current distribution of antibiotic

84 resistance genes (ARGs) in Enterobacteriaceae plasmids, we applied a phylogenetic

85 birth-death model using Count (21) to quantify gene turnover rates across 6,895

86 genomes of which 5,335 contained at least one identified plasmid sequence

87 (Supplementary Table S1). The approach estimates four key evolutionary processes:

88 (i) gene family turnover, comprising gain (acquisition of new gene families) and loss

89 (complete disappearance of an existing family) (Supplementary Figure S1A, C); and

90 (ii) copy-number variation, comprising expansion (increase in gene copies within an

91 existing family) and reduction (decrease in gene copies while maintaining at least one

92 copy) (Supplementary Figure S1B-C). Since we focused exclusively on plasmid-

93 associated gene families (defined by a $\geq 70\%$ plasmid-occurrence threshold),

94 expansion can be biologically interpreted as intra- or inter-plasmid gene duplication

95 (e.g., mediated by transposons), the acquisition of additional plasmid carrying the

96 same gene family, or even chromosomal integration of a plasmid-borne gene copy,

97 while reduction represents the subsequent loss of these redundant copies

98 (Supplementary Figure S1B).

99 We compared overall rates between plasmid borne ARGs (pARGs) and all other

100 plasmid genes (non-ARGs) across 80 species. Our analysis revealed that pARGs

101 exhibit substantially different dynamics for gene gain and loss versus expansion and

102 reduction (Figure 1, Supplementary Table S2). Gain rates showed no significant

103 differences between pARGs and non-ARGs (n = 80, gain: adjusted p = 0.257; Figure

1A), with data points forming relatively compact distributions across species. This

suggests that the fundamental processes governing the acquisition of entire gene

families operate similarly for resistance and non-resistance genes. In contrast, pARGs

exhibited significantly elevated rates for loss (n = 80, adjusted p = 1.23×10^{-2}, median

$\log_2$(ARG/ALL) = 0.15; Figure 1B), expansion (adjusted p = 3.34×10^{-6}, median

$\log_2$(ARG/ALL) = 1.28; Figure 1C) and reduction (adjusted p = 4.03×10^{-5}, median

$\log_2$(ARG/ALL) = 0.83; Figure 1D) events. The high scatter in these data points

indicates substantial species-specific variation in the extent to which loss, expansion

and reduction dynamics differ between pARGs and other plasmid genes. Regarding

the ratios of gain-to-loss and expansion-to-reduction, no significant differences were

observed for pARGs (p > 0.05; Supplementary Figure S2).

In summary, across Enterobacteriaceae, gain rates show no pARG-specific signal,

indicating that acquisition of pARG families follows common plasmid evolutionary

pathways. In contrast, pARGs exhibit significantly elevated expansion and reduction

rates with pronounced species-level variation, revealing that these copy-number

dynamics are primarily driven by species identity. While gene loss rates showed a

statistically significant difference, the effect size was small (median log2 ratio = 0.15).

Turnover dynamics of antibiotic resistance genes are primarily species

dependent

To test whether the species-level patterns in Figure 1 are consistent across resistance

mechanisms or vary among drug classes, which are defined by their mechanisms of

action, we assigned orthologous gene families to CARD-defined drug classes and

estimated gain, loss, expansion, and reduction rates for each class across species.

Using the CARD database (22), we identified and analyzed the turnover dynamics of

specific drug classes, which are groups of antibiotics with similar chemical structures

and mechanisms of action.

Our analysis revealed that the evolutionary rates for all four event types were

strongly species-dependent (Kruskal–Wallis test; gain: H = 536.9, p = 2.9x10^{-69}, η² =

0.76; loss: H = 506.3, p = 1.4x10^{-63}, η² = 0.71; expansion: H = 312.5, p = 1.6x10^{-29}, η²

= 0.39; reduction: H = 436.9, p = 2.4x10^{-51}, η² = 0.60), with substantial variation across

species for gain, loss, expansion, and reduction (Supplementary Figure S2A–B; Figure

2A–B). In contrast, drug class effects were weak: no significant signals were detected

for gain (p = 0.74) and loss (p = 0.58), while expansion (p = 5.2x10^{-9}, η^2=0.09) and

reduction (p = 1.1x10^{-3}, η^2=0.04) showed significant but weak drug class effects, which

were an order of magnitude smaller than those of species. To account for potential

biases from multi-counting genes across drug classes, we used an Ordinary Least

Squares (OLS) model for variance partitioning. This analysis confirmed species identity

as the primary driver of pARG turnover, explaining 66.8%, 63.1%, 42.1%, and 51.5%

of the total variance for gain, loss, expansion, and reduction events, respectively. In

contrast, drug class identity accounted for minimal variance across all events: 2.1% for

gain, 1.7% for loss, 6.9% for expansion, and 4.1% for reduction. Full results are

provided in Supplementary Table S3.

Furthermore, species that exhibited high expansion rates typically also showed

elevated reduction rates for the same drug classes (n=80, Spearman's rank correlation

with 5,000 permutations: ρ=0.792, permutation p≈0.0002). By contrast, species with

high gain rates did not necessarily display the corresponding high loss rates (n=80,

ρ=-0.196, p ≈ 0.079), indicating that plasmid-borne gene expansion and reduction

increases and decreases within existing gene families are more tightly coupled than

complete gene family gain and loss.

In summary, antibiotic resistance gene evolution dynamics are primarily driven by

species identity, with only minor drug class effects. Moreover, expansion and reduction

rates are coupled, whereas gain and loss are largely independent.

Chromosomal antibiotic resistance genes (cARGs) are associated with elevated

pARG acquisition rates

Our previous analyses revealed that pARGs exhibit similar gain rates compared to

other plasmid genes. We further investigated whether additional factors might be

associated with the evolutionary dynamics of pARGs, specifically examining whether

the presence of antibiotic resistance genes in bacterial chromosomes is associated

with altered evolutionary rates of pARGs. We employed a comparative phylogenetic

approach using sister clade analysis (Figure 3A), identifying 464 pairs of phylogenetic

clades where one clade (lineage) contained ≥80% of genomes harboring a specific

ARG family in their chromosome (ARG-containing clade) while <20% of genomes in

the sister clade (lineage) contained that homologous ARG family. For each clade pair,

we calculated gain and loss rates for plasmid genes by summing evolutionary events

across all branches within each clade and normalizing by total branch length. In total,

80 species and 84 RGI-defined ARG families were included in the analysis

(Supplementary Tables S4 and S5). Linear mixed-effects models (LMM) were used as

a statistical test for the analysis, including fixed effects for clade type, gene class, and

their interaction, with random effects for species, ARG family, and sister-clade

comparisons to capture lineage-specific variation (see Methods).

Our analysis revealed that bacterial clades with cARGs exhibit significantly

different plasmid gene gain rates compared with their sister clades (Figure 3B-C).

ARG-containing clades showed approximately 2.47-fold higher gain rates for pARGs

(estimate = 0.91 on the log scale, $p = 1.9\times10^{-7}$; Figure 3B, Supplementary Table S6)

and significantly lower loss rates (fold-change = 0.138, p = 0.034). In contrast, other

plasmid genes showed significantly lower gain rates in ARG-containing clades

compared with sister clades (about 3.7-fold lower; estimate = -1.3, $p = 2.97\times10^{-7}$), while

their loss rates also showed a decrease between clade types (estimate = -0.94, p =

1.44×10^{-7}). The interaction term indicated that the correlation between cARG presence

and evolutionary rates differs significantly between gene types for both gain (estimate

= -2.2, $p = 2.2 \times 10^{-9}$) and loss events (estimate = -1.0, $p = 5.6 \times 10^{-5}$) (Figure 3C,

Supplementary Table S6).

To test the robustness of our results across different clade definitions, we

performed an analysis across a gradient of sister-clade thresholds (70/30, 80/20, 85/15,

and 90/10 for cARG/sister clades). Although the magnitude of the effect was sensitive

to the specific cutoff, the positive association remained robust across all thresholds

(Supplementary Figure S4, Supplementary Table S5). As the threshold for defining

ARG-containing clades became more stringent, representing lineages with higher

levels of chromosomal resistance prevalence, the magnitude of the pARG gain bias

became more pronounced. Specifically, the fold-change in pARG gain rates increased

progressively from 1.65 at the 70/30 threshold (p = 0.015) to 2.47 at the 80/20 threshold

($p = 6.7 \times 10^{-4}$), 3.21 at the 85/15 threshold ($p = 1.5 \times 10^{-4}$), and 4.91 at the 90/10

threshold (p = 1.19 × 10^{-6}) (Supplementary Figure S4, Supplementary Table S6).

Parallel to the gain dynamics, the suppression of pARG loss rates in cARG clades

remained remarkably stable and highly significant across all tested categories. The

loss rate fold-changes ranged from 0.183 to 0.125 with all *p* values below 0.001

(Supplementary Figure S4, Supplementary Table S6), indicating that these lineages

consistently maintain acquired resistance genes more effectively than their sister

clades.

In addition to the overall association, we performed per-family LMM analyses for

those with at least three available clades in Enterobacteriaceae (Supplementary Table

S7). The overall gene gain rate remained higher in cARG clades (Supplementary

Figure S5; p < 0.05). Specific ARG families, such as sulfonamide-resistant *sul* and

trimethoprim-resistant dihydrofolate reductase (*dfr*), display higher gene gain but lower

gene loss rates (Supplementary Figure S6).

Notably, individual tests for each family revealed that a larger proportion of cARG

families exhibited significantly reduced gene loss rates than elevated gain rates (see

Supplementary Figure S6). Along with the reduced loss of other plasmid genes within

these lineages (Supplementary Figure S3), this stability may represent an evolutionary

tendency to maintain plasmids in cARG-containing clades. Consistent with this, a

pairwise comparison of 436 clade pairs revealed that cARG clades maintain a

significantly higher plasmid burden than their sister counterparts, with a median of 2.64

unique plasmid clusters compared to 1.66 $(p = 2.42 \times 10^{-21})$ (Supplementary Figure

S7A).

To further study whether the accelerated pARG acquisition in cARG clades be

attributed to lower plasmid backbone incompatibility, we then calculated the frequency

of these pARG-associated replicon types within their respective sister clades. We

observed a 0.00% median sharing ratio of backbone replicon genes between sister

clades (Supplementary Figure S7B), suggesting that most of these pARG-carrying

plasmids were absent in the most recent common ancestor and were acquired

specifically in the cARG clades. Together, these evidences help strengthen the

interpretation that these cARG-containing lineages are genuinely more prone to

plasmid-mediated resistance acquisition.

For most species, cARG-clade associated genomes exhibit a wide and diverse

spectrum of antibiotic resistance (Figure 4A). Many species (e.g., *Enterobacter*

cloacae_M, *Enterobacter chengduensis*, *Erwinia persicina*, *Klebsiella terrigena*, and

Kosakonia cowanii) exhibit widespread resistance to clinically and agriculturally used

antibiotics (e.g., penicillins, cephalosporins, and tetracyclines). In contrast, only a few

species accumulate antibiotic-resistant strains for a specific antibiotic; the most notable

examples are *Serratia nevei* and *Klebsiella michiganensis*, which exhibit high levels of

aminoglycoside antibiotic resistance, and *Klebsiella quasipneumoniae* for glycopeptide

antibiotics. The observed resistance profiles across these lineages can be compared

to the representative consumption levels of corresponding antibiotic classes in clinical

and agricultural settings (Figure 4B and 4C).

Co-occurrence of plasmid-borne antibiotic resistance genes with plasmid

replicon types

To identify the associations between the presence of ARGs and specific plasmid types,

we reconstructed plasmid units from draft assemblies and performed replicon typing

for both draft and complete assemblies. For plasmid groups defined by a particular

replicon type, we calculated all-against-all Mash distances and constructed plasmid

similarity networks. Notably, we employed a Mash distance cutoff of 0.025, which is

equivalent to the secondary clustering criterion used by MOB-recon tool. Consequently,

each panel in Figure 5 visualizes the fine-grained genetic similarity within specific

plasmid types.

By mapping the ARGs to plasmids, we observed that specific plasmid types, such

as ColRNAI_rep_cluster_1987, Col(VCM04), and IncQ2, exhibited strong associations

with sulfonamide, peptide, and glycopeptide antibiotics, respectively (Figure 5A-C and

Table 1). Specifically, the ARGs on ColRNAI_rep_cluster_1987 plasmids were

disinfectant resistance genes *qacG*, while those on Col(VCM04) were primarily *mprF*.

The IncQ2 plasmids were mainly associated with the *qnrS2* (Supplementary Table S8).

In contrast, such distinct gene-replicon associations were rarely observed in plasmids

harboring multidrug resistance, which often exhibited more complex and

heterogeneous ARG compositions (Figure 5D-F, Table 1).

In terms of host distribution, the *qacG* genes associated with

ColRNAI_rep_cluster_1987 were identified across 16 species, with 34 of the 71 total

plasmids (47.9%) found in *Serratia nevei* (Supplementary Table S8). The *mprF* genes

associated with Col(VCM04) spanned 14 species, with 40 of the 56 total plasmids

(71.4%) originating from the *Citrobacter* genus. The *qnrS2* genes associated with

IncQ2 were exclusively identified in *Leclercia adecarboxylata*.

DISCUSSION

Across 6,895 Enterobacteriaceae genomes, we show that plasmid-borne antibiotic

resistance genes (pARGs) and other plasmid genes exhibit similar species-level gain

rates (Figure 1A). However, the expansion and reduction rates of ARGs, which depend

on species, are much more diverse than those of other plasmids. Elevated expansion

and reduction may reflect the activity of gene-level mobile elements such as IS26

translocatable units (23, 24) and integron cassette rearrangements (25, 26), as well as

selective amplification events that duplicate individual genes without affecting entire

plasmids (27). Besides, recent study revealed that 77% of studied ARG-carrying

plasmids contain insertion sequences, facilitating inter-plasmid resistance gene

transfer (7). And the replication-control mutations (e.g., *copA*) may also elevate

plasmid copy number and increase ARG transfer rates (11)

Beyond species-specific variation in expansion and reduction, which likely reflects

differing balances between antibiotic-driven selection and fitness costs (28, 29), we

observed that bacterial lineages harboring cARGs acquired pARGs at 2.47-fold higher

and 3.7-fold lower rates than their sister clades (Figure 6B, Supplementary Table S6).

Rather than implying direct causation, the lack of temporal resolution in static genomic

data precludes a definitive conclusion regarding the directionality of this evolutionary

process. We consider two distinct evolutionary scenarios to explain this association. In

one scenario, chromosomal integration acts as a prerequisite for further resistance

accumulation. By fixing critical resistance genes into the core genome, lineages ensure

vertical inheritance and minimize the metabolic burden associated with maintaining

plasmids. This stabilized genetic background may facilitate the subsequent uptake of

a broader plasmid repertoire. Alternatively, chromosomal integration may be the

evolutionary consequence of intense plasmid flux under sustained antibiotic selection.

High rates of pARG acquisition increase the intracellular density of resistance genes,

elevating the statistical probability of stochastic transposition to the chromosome via

mobile elements such as IS26 or integrons (24, 30-33). In this scenario, cARGs

represent the consequence of a highly dynamic resistance mobilome. In any case,

from a long-term evolutionary perspective, cARGs can serve as genomic markers for

bacterial lineages prone to accumulate plasmid-mediated ARGs.

cARG-containing clades have a higher plasmid burden, with a median of 2.64

plasmids, compared to 1.66 in sister clades (Supplementary Table S7). Since the

median sharing ratio of pARG-associated replicons with sister clades is 0%, these

plasmids were likely acquired independently after the lineages diverged, rather than

inherited from a common ancestor. This independent acquisition, combined with

significantly lower rates of plasmid gene loss (Figure 3B), suggests that these clades

are particularly effective at obtaining and retaining the environmental mobilome. The

presence of more plasmids increases the physical proximity of different pARGs within

the same cell. This co-localization creates the conditions necessary for recombination

between different plasmid backbones or the assembly of new resistance islands (34).

Consequently, these clades may be important sites for the exchange of ARGs. The

newly formed elements are subsequently stabilized by reduced loss rates, ensuring

persistent multidrug resistance and contributing to the dissemination of these traits to

the broader bacterial population.

Finally,   we   manually   selected   few   Count-inferred   events   (posterior

probability >0.90) and verified whether the events matched previous reported

outbreaks (Supplementary Table S9). We identified a clade of 24 genomes from France

that acquired the *blaCTX-M* gene family at node N13 of the *Enterobacter*

quasihormaechei species tree. These genomes were assigned to ST873 (using the

ecloacae scheme), matching a previously documented *blaCTX-M-15* positive ST873

outbreak in French hospitals (35). Similarly, a gain event of the *mcr*

phosphoethanolamine transferase family was inferred at node N22 of the *Escherichia*

fergusonii species tree, involving 10 Chinese isolates. These genomes were assigned

to the novel ST16672 type (using the ecoli_achtman_4 scheme), for which no known

clinical outbreaks have been reported to date. However, by looking at their isolation

locations, this gain event aligns with the landmark emergence of plasmid-mediated

mcr-1 in Chinese animal and human populations (36). Furthermore, we identified

multiple *sul* gain events across diverse species that align with regional antimicrobial

resistance (AMR) trends. For instance, a gain at *Salmonella enterica* node N9 is

consistent with the high *sul* prevalence (34.37%) reported in southern Brazil (37).

Similarly, a gain at *Salmonella arizonae* node N34 matches documented MDR

outbreaks in U.S. turkey operations (38), while a gain at *Edwardsiella anguillarum* node

N5 reflects the high detection frequency of *sul* genes in fish pathogens along the Fujian

coast of China (39).

Limitations

This study focused exclusively on plasmid-associated genes, excluding other

mobile elements such as Integrative and conjugative elements (ICEs) and integrative

mobilizable elements (IMEs), which also mediate chromosomal integration and

excision of ARGs (40-42). Bacteriophages further can contribute to ARG dissemination

through transduction and phage–plasmid hybrids (43). Consequently, our observations

represent only a subset of the overall resistance mobilome. Moreover, we lacked

ecological information about antibiotic exposure histories of the analyzed organisms.

Expanding future analyses to include additional mobile genetic elements and

ecological datasets would provide a more comprehensive understanding of ARG

dissemination in natural environments.

Conclusion

Our findings highlight a duality in plasmid-mediated resistance evolution in

Enterobacteriaceae. At the level of whole gene families, pARGs follow the same

turnover dynamics as do other plasmid genes, indicating that resistance dissemination

largely reflects plasmid-level processes rather than ARG-specific rules. At the level of

copy-number changes, however, pARGs show elevated expansion and reduction with

strong lineage dependence and minor drug-class effects. Such species-driven

plasticity suggests recurrent expansion-reduction cycles as a flexible resistance

strategy. Moreover, chromosomal resistance content serves as a genomic marker of a

lineage's potential for plasmid-mediated resistance accumulation on evolutionary

timescales.

METHODS

Genome Collection and Gene Annotation

We parsed the Genome Taxonomy Database (GTDB; https://gtdb.ecogenomic.org)

release 220 (44) to identify genomes belonging to Enterobacteriaceae. For species

with more than 300 genomes, we randomly selected 300 representatives with random

seed 19940421. We applied MIMAG criteria (45) with completeness >99%,

contamination <1%, mean contig length >5,000 bp, and contig count <500 to filter high-

quality genomes. To reduce computational cost, species with more than 100 genomes

were subsampled to retain at most 100 genomes (random seed 19940421). Only

species with more than 10 genomes were considered for further analysis. The

genomes that passed these filters were downloaded from the NCBI FTP site

(https://ftp.ncbi.nlm.nih.gov). For sequence typing, the MLST software

(https://github.com/tseemann/mlst) was used to against PubMLST database (46).

Bacterial genes were predicted using pyrodigal-gv v0.3.2 integrated in geNomad.

Plasmids and their encoded genes were identified using geNomad v1.11.0 with

database v1.9 and default parameters (47), as well as the Platon v1.7 accuracy model

(48). we defined a gene as plasmid-derived only if it is independently identified by both

geNomad and Platon. Antibiotic resistance genes were identified with Resistance

Gene Identifier (RGI) v6.0.5 using protein sequences with "include_nudge" option and

default parameters, CARD version 4.0.1 (22). Pan-genomes of each species were

constructed using the orthology-based clustering method OrthoFinder v2.5.5 (49)

following established guidelines (50).

After applying these criteria, 6,895 complete or nearly complete genomes

belonging to 159 Enterobacteriaceae species (sensu GTDB) were included in the

analysis (Supplementary Table S1), of which 80 contained antibiotic resistant genes

on plasmids (Supplementary Data).

Applying Phylogenetic Birth-Death Model for Gene Gain and Loss Inference

From the orthologous gene families and species trees generated by OrthoFinder, we

extracted plasmid orthologous gene families. An orthologous gene family was

considered plasmid-associated if the proportion of plasmid genes within that

orthologous gene family exceeded 70% of all genes in the family. Species trees were

pruned to retain only genomes contributing to the filtered orthologous gene families.

Gene gain and loss dynamics were quantified using the phylogenetic birth-death

model implemented in Count v10.04 (21). This probabilistic framework models the

evolution of gene family sizes along phylogenetic trees as a continuous-time Markov

process. The model accounts for three fundamental processes: gene gain (κ), gene

loss (μ), and gene duplication (λ). A gene family of size n changes according to the

following rates: the family decreases at rate $n\mu$ due to individual gene losses, increases

through duplication at rate $n\lambda$, and gains new genes at rate κ through horizontal transfer

or other acquisition mechanisms.

Note that the biological processes underlying gene gain, loss, expansion, and

reduction can be interpreted as follows: 1) Gain (0 to 1): A species acquires a new

plasmid carrying a previously absent resistance gene family, or a new gene family

integrates into an existing replicon via horizontal gene transfer. 2) Loss (n to 0 for n >

1): The total loss of a plasmid harboring all copies of a gene family, or the complete

deletion of a gene family from all replicons within the cell. 3) Expansion (n to m for m >

1): An increase in intra-replicon copy number via tandem duplication, which is often

mediated by insertion sequences; the acquisition of additional homologous copies from

external sources into existing plasmids; an increase in plasmid copy number via

replication-control mutations; or the translocation and subsequent duplication of pARG

onto the chromosome or other co-resident plasmids. 4) Reduction (n to m for n > m $\geq$

1): Loss of some duplicated copies of a gene family while retaining at least one copy,

or loss of one plasmid in a cell harboring multiple replicons with the same gene family.

These scenarios illustrate the most probable biological drivers captured by the model.

However, they are not an exhaustive representation of all complex scenarios that may

occur in Enterobacteriaceae genomes.

For each species dataset, we performed iterative maximum likelihood optimization

to estimate birth-death model parameters using whole bacterial genomes (51). We

implemented a systematic search strategy starting with initial parameter values of

$\kappa=\mu=\lambda=1$ and incrementally exploring the parameter space up to κ, μ, $\lambda \leq 4$. This

resulted in a total of 10 optimization rounds. The iterative approach followed the pattern:

if all parameters are equal, increase loss rate (μ); if duplication and gain rates are equal,

increase duplication rate (λ); otherwise increase gain rate (κ). Each round uses the

previous round's results as starting values. The optimization utilized maximum

likelihood estimation with maximum paralogs of 200, optimization tolerance of 0.1, and

minimum lineages of 2.

After parameter optimization, we calculated posterior probabilities for plasmid-

borne ancestral gene family states and evolutionary events using the Posteriors

module of Count. This reconstructs the evolutionary history of each gene family,

providing probabilistic estimates for gain, loss, expansion, and reduction events along

each branch. Count analysis was performed separately for each species dataset.

Gene Gain and Loss Data Integration and Rate Calculation

An orthologous gene family was defined as an ARG family if at least 50% of its member

genes were identified as ARGs by RGI. Branch lengths were extracted from the original

species trees and combined with corresponding Count posterior probabilities. For rate

calculations, we summed gain, loss, expansion, and reduction events across all

branches within each orthologous gene family and divided by the corresponding total

branch length. Only branches with branch lengths > 1e-12 were included to avoid

computational artifacts from extremely short branches. Evolutionary rates were

calculated per species per orthologous gene family as:

437
$$rate_i = \frac{\sum(events_{\{i,j\}})}{\sum(branch\_length_j)}$$

where $events_{\{i,j\}}$ is the number of events for orthologous gene family i on branch j,

and $branch\_length_{\{j\}}$ is the length of branch j in substitutions per site.

Comparative Analysis of Evolutionary Rates

For comparative analysis between ARG and non-ARG plasmid gene families, data

were aggregated by species, event type, and ARG status. Median rates were

calculated within each group, and the data were restructured into a paired format

where each species served as a matched pair with corresponding median rates for

ARG and non-ARG families. Paired Wilcoxon signed-rank tests compared ARG versus

non-ARG families within species to control for species-specific evolutionary factors.

Additionally, gain/loss and expansion/reduction ratios were calculated per species to

assess the relative balance of these complementary processes. Multiple testing

correction was performed using the Benjamini-Hochberg procedure. Effect sizes were

quantified as median log2-fold changes, and statistical significance was assessed at p

< 0.05 and q < 0.05 (FDR-adjusted p).

To examine rate variation across antibiotic resistance classes, drug class

annotations were extracted from RGI output. For ARG families associated with multiple

drug classes, evolutionary rates were assigned to each corresponding class.

Evolutionary rates were then visualized across different species and drug class within

Enterobacteriaceae. The concordance between event types across species was

assessed by compared median per-species rates using Spearman's rank correlation

with permutation tests (5,000 iterations, random seed = 19940421) to obtain empirical

p-values.

To evaluate the relative contributions of species background and drug class to

pARG turnover, variance partitioning was performed using Ordinary Least Squares

(OLS) models. Evolutionary rates (y) were log-transformed as $\ln(y + 10^{-12})$ to satisfy

normality assumptions. We compared the explanatory power of two categorical models,

Species-driven model, $ln(y + \epsilon) \sim \beta_0 + \beta_i \cdot Species_i + \epsilon$, and a drug-class-driven

model, $ln(y + \epsilon) \sim \beta_0 + \beta_i \cdot Drug\_class_j + \epsilon$, where Species and drug class represent

categorical predictors for bacterial lineages and antibiotic classes, respectively. The

coefficient of determination (R^2) was used to quantify the proportion of total variance

explained by each factor.

Comparison of Plasmid Gene Dynamics Between ARG-containing and Sister

Clades

To assess whether the presence of antibiotic resistance genes in bacterial

chromosomes influences the evolutionary dynamics of plasmid-borne genes, we

identified pairs of phylogenetic clades that differed in the chromosomal presence of an

ARG family. For each combination of species tree and ARG family, we scanned for

internal nodes where ≥80% of descendant genomes harbored the specific ARG family

in their chromosome (cARG-containing clade), while <20% of genomes in the

corresponding sister clade contained that ARG family. Only clade pairs with at least

two genomes in each clade were retained for analysis. A representative case involving

Citrobacter portucalensis is illustrated in Supplementary Figure S8.

For each identified clade pair, we calculated the gain and loss rates of plasmid

genes, distinguishing between plasmid-borne ARGs and other plasmid genes. For

each orthologous gene family, rates were computed as:

485
$$Rate_{OG,clade} = \frac{\sum_{b \in clade} Events_{OG,b}}{\sum_{b \in clade} Branch\ Length_b}$$

where events were summed across all branches within each clade, normalized by the

total branch length of that entire clade. Plasmid ARGs that matched the chromosomal

ARG family used to define the clade were excluded from the analysis. The median rate

across all orthologous gene families within each gene class (ARGs or non-ARGs) was

then used as the representative value for each clade.

Event rates were analyzed using linear mixed-effects models on the log scale, with

gain and loss modeled separately; the response was $\log(rate + \varepsilon)$, where $\varepsilon =$

$0.1 \times \min(\text{non-zero rate})$ within the corresponding event type. Fixed effects were clade

type (ARG-containing vs sister clade), gene class (plasmid ARGs vs other plasmid

genes), and their interaction; random effects were species, resistance gene family, and

the clade pair linking each ARG-containing clade with its sister (implemented as a

random intercept on Clade ID). Models were fitted using restricted maximum likelihood

and restricted to paired observations with both clade types available within a given

gene class. Post hoc contrasts from estimated marginal means assessed (i) ARG-

containing vs sister differences within each gene class and (ii) the clade-type $\times$ gene-

class interaction. In addition to the overall model, we performed family-specific

analyses. For each resistance gene family with ≥ 4 available paired clades, we re-fit

the model within that family using the same fixed-effects structure and random

intercepts for species and clade pair, but omitting the family random effect (not

identifiable within a single family). Estimates and 95% CIs were back-transformed to

the original rate scale, with two-sided tests and Benjamini–Hochberg adjustment for

multiple contrasts. Analyses were performed in R v4.4.0 using lme4 v1.1.35.5 (52),

lmerTest v3.1.3 (53), and emmeans v 1.11.2.8.

To evaluate the robustness of our sister-clade analysis, we performed a sensitivity

analysis by testing a gradient of clade-defining thresholds for cARG frequency:

70%/30%, 80%/20% (the primary threshold used in this study), 85%/15%, and

90%/10%. These alternative thresholds were applied to verify whether the observed

associations between cARG presence and pARG gain/loss rates were sensitive to the

stringency of clade selection. The fold-change in pARG gain rates and the decrease in

pARG loss rates were assessed across all thresholds using the linear mixed-effects

model structure described above.

The usage levels of ARG-associated antibiotics in clinical (human, Spain, 2023)

and agricultural (veterinary, Spain, 2022) data were obtained from the One Health

Trust's ResistanceMap (https://resistancemap.onehealthtrust.org/) and the European

Medicines Agency's (EMA) ESVAC report (https://www.ema.europa.eu/), respectively,

and were standardized into the CARD drug class.

Plasmid Unit Reconstruction and Similarity Network Analysis

To accurately determine plasmid numbers and mitigate overestimation, mob_recon

(MOB-suite v3.1.9) (54) was employed to reconstruct plasmids across the entire

dataset. In this section, each reconstructed plasmid was treated as an individual

genomic unit. Only plasmid groups (primary clusters) comprising at least ten

independent units and a consistent replicon type were included in the analysis.

Genomic similarity within each group was assessed by calculating Mash distances,

excluding edges between plasmid pairs with distances exceeding 0.025. The resulting

similarity networks were visualized using Cytoscape v3.10.2 (55).

Resistance genes conferring resistance to monobactams, carbapenems,

cephalosporins, or penicillins were grouped into a single beta-lactam category for the

drug-class analysis. Similarly, the MLS group was used to encompass macrolides,

lincosamides, pleuromutilins, and streptogramins (A and B).

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DECLARATION OF GENERATIVE AI AND AI-ASSISTED TECHNOLOGIES IN THE
WRITING PROCESS

During the preparation of this work, the author(s) used ChatGPT and Gemini to polish

the language. After using this tool, the authors reviewed and edited the content as

needed and took full responsibility for the content of the publication.

DECLARATION OF COMPETING INTERESTS

The authors declare no competing financial interests.

ETHICS APPROVAL

There are no ethical concerns in this study.

DATA AVAILABILITY

Supplementary material is available for this article. Also, the supplement data, and core

script are available on Figshare under the DOI: 10.6084/m9.figshare.30186307.

AUTHOR CONTRIBUTIONS

Yang Liu: conceptualization, bioinformatics analysis, writing – original draft, writing –

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Figure legends

Figure 1. Evolutionary dynamics of plasmid-borne antibiotic resistance genes

compared to other plasmid genes in Enterobacteriaceae.

(A) Gain rates (appearance of new gene families per substitution per site) for ARGs

versus other plasmid genes. (B) Loss rates (disappearance of gene families per

substitution per site) for ARGs versus other plasmid genes. (C) Expansion rates

(addition of gene copies within existing families per substitution per site) for ARGs

versus other plasmid genes. (D) Reduction rates (loss of gene copies within existing

families per substitution per site) for ARGs versus other plasmid genes. Gene families

were defined as orthologous groups (OGs).

Figure 2. Expansion and reduction rate patterns across antibiotic resistance

classes and Enterobacteriaceae species.

Heatmaps showing evolutionary rates for different antibiotic resistance classes across

bacterial species. (A) Expansion rates. (B) Reduction rates. Rows represent

Enterobacteriaceae species, and columns represent CARD-defined antibiotic

resistance classes. Color intensity indicates log10 scaled rate magnitude, with darker

colors representing higher rates. White cells indicate absence of the ARG class in the

species.

Figure 3. Association between presence of cARGs in bacterial lineages and

plasmid borne ARG acquisition.

(A) Schematic showing sister clade comparison approach. Phylogenetic clades

containing high frequencies (≥80%) of specific cARG families are compared to sister

clades with low frequencies (<20%). Colored circles represent different bacterial clades.

(B) Fold-change comparison of evolutionary rates between ARG-containing clades and

sister clades. Y-axis shows the fold-change ratio (ARG clade / Sister clade) for gain

(purple) and loss (orange) rates of plasmid ARGs versus other plasmid genes. Dashed

line at y=1 indicates no difference between clades. (C) Interaction effect showing the

differential impact of cARG presence on gain versus loss dynamics. Y-axis represents

the interaction effect (fold-change, log scale) between clade type and evolutionary

process. Error bars show 95% confidence intervals. Statistical significance indicators:

***$p < 0.001$, *$p < 0.05$, ns = not significant.

Figure 4. ARG distribution within cARG-associated lineages and antibiotic

consumption levels.

(A) Heatmap of ARG profiles across cARG-containing clades. The x-axis labels denote

the bacterial species and total genome numbers within each analyzed clade. Species

names are color-coded according to their primary habitat: Clinical (red), Environmental

(blue), Agricultural (green), Mixed (purple), or Unknown (grey). The y-axis lists

antibiotic drug classes as defined by the Comprehensive Antibiotic Resistance

Database (CARD). Color intensity indicates the number of genomes harboring specific

resistance gene classes. (B) Clinical antibiotic consumption. Bar chart representing

human antibiotic usage data from Spain (2023). The x-axis measures consumption in

Defined Daily Doses (DDD) per 1,000 people per day. (C) Agricultural antibiotic

consumption. Bar chart representing veterinary antimicrobial sales data from Spain

(2022). The x-axis measures sales in milligrams per population correction unit

(mg/PCU). Antibiotic categories are mapped into standardized CARD drug classes for

cross-comparison with the heatmap.

Figure 5. Genetic similarity networks of specific plasmid replicon types and their associated antibiotic resistance gene (ARG) profiles.

Each node represents an individual plasmid, and edges connect plasmids with high genetic similarity. Nodes are colored according to the functional class of the carried antibiotic resistance genes (ARGs) as defined by the CARD database.

Figure1

Figure 2

Figure 3

Figure 4

Figure 5

A ColRNAI_rep_cluster_1987

B Col(VCM04)

C IncQ2

D IncC

E IncHI2A

F IncN

- aminoglycoside antibiotic
- beta-lactam antibiotic
- diaminopyrimidine antibiotic
- disinfecting agents and antiseptics
- fluoroquinolone antibiotic
- glycopeptide antibiotic
- multidrug resistance
- MLS
- peptide antibiotic
- phenicol antibiotic
- rifamycin antibiotic
- sulfonamide antibiotic
- tetracycline antibiotic