1 Stepwise evolution and convergent recombination underlie the global dissemination of
2 carbapenemase-producing *Escherichia coli*
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Abstract

Carbapenem-resistant *Enterobacteriaceae* are considered by WHO as "critical" priority pathogens for which novel antibiotics are urgently needed. The dissemination of carbapenemase-producing *Escherichia coli* (CP-*Ec*) in the community is a major public health concern. However, the global molecular epidemiology of CP-*Ec* isolates, as well as the genetic bases for the emergence and global dissemination of specific lineages, remain largely unknown. Here, by combining a thorough genomic and evolutionary analysis of *Ec* ST410 isolates with a broad analysis of 12,398 *E. coli and Shigella* genomes, we showed that the fixation of carbapenemase genes depends largely on a combination of mutations in *ftsI* encoding the penicillin binding protein 3 and in the porin genes *ompC* and *ompF*. Mutated *ftsI* genes and a specific *ompC* allele spread across the species by recombination. Those mutations were in most cases selected prior to carbapenemase gene acquisition. The selection of CP-*Ec* lineages able to disseminate is more complex than the mere acquisition of carbapenemase genes and might be largely triggered by β-lactams other than carbapenems.

Introduction

Antibiotic resistance is one of the most urgent public health concerns. The increasing rates in antimicrobial resistances worldwide suggests a bleak outlook in terms of morbidity, mortality and economic loss[1]. Carbapenems are the last resort antibiotics used to treat infections caused by multidrug-resistant (MDR) Gram-negative bacteria[2]. Dissemination of carbapenem-resistant *Enterobacteriaceae* (CRE) threatens the efficacy of current treatment options. Carbapenem-resistance may result from a combination of mutations leading to reduced permeability (e.g. porin deficiency) and overexpression of an extended-spectrum β-lactamase (ESBL) or a cephalosporinase that show a weak activity against carbapenems[3]. However, the main resistance mechanism is the acquisition of a carbapenemase gene[4]. The major carbapenemases encountered in *Enterobacteriaceae* belong to Ambler class A (KPC-type), class B (metallo-β-lactamases IMP, VIM- and NDM-types) or class D (OXA-48-like enzymes)[5]. As these carbapenemases are now frequently encountered in *Escherichia coli*, public health authorities fear that carbapenemase-producing *E. coli* (CP-*Ec*) might follow the same expansion and dissemination in hospitals and the community as the one observed for CTX-M-type ESBL-producing *E. coli* isolates[6,7]. This is especially worrisome as these isolates are usually resistant to multiple antibiotics.

The epidemiology of CP-*Ec* is complex with geographical diversity in terms of carbapenemase genes and of dominant lineages[4]. Most studies performed at national or hospital levels point to a broad diversity of isolates as defined by multilocus sequence typing (MLST), with some isolates belonging to a few dominant sequence types (STs) like ST38, clonal complex 10 (ST10, ST167, ST617), ST101, ST131 and ST410 that express different carbapenemases[4,8-13]. However, their prevalence varies significantly worldwide. Analysis of CP-*Ec* strains isolated in 16 countries between 2008 and 2013 revealed that 36% belonged to the pandemic ST131, which has driven the global spread of CTX-M-15 ESBL in *E. coli*[11]. But only a single ST131 isolate out of 140 CP-*Ec* was identified by the French National Reference Centre (Fr-NRC) between 2012-2013[8]. Recently, the phylogenetic analysis of a Danish collection of ST410 isolates combined to an international set of isolates revealed a globally disseminated *Ec* clone carrying $bla_{OXA-181}$ on a IncX3 plasmid. This lineage was predicted by a Bayesian analysis to have acquired $bla_{OXA-181}$ around 2003 and subsequently bla_{NDM-5} around 2014[13].

Despite public health implications, factors contributing to the emergence and the
dissemination of CP-*Ec* lineages have not been explored. Here, by using an in-depth
evolutionary and functional analysis of *Ec* ST410 and by extending it to the whole *E. coli*
species, we show that acquisition of carbapenemase genes occurred preferentially in
specific disseminated lineages mutated in *ftsI* encoding penicillin-binding protein 3
(PBP3) and/or in the *ompC* and *ompF* porin genes. Our global analysis predicts that
selection by other β-lactams aside from carbapenems played a major role in fixing
carbapenemase genes in specific genetic backgrounds that have not yet been observed
among the high-risk *Ec* ST131 isolates.

Results

**Most CP-*Ec* ST410 isolates received by the French NRC belong to a single
lineage.** In order to determine the genetic bases for the dissemination of CP-*Ec* lineages,
we first analysed ST410 CP-*Ec* isolates, which show a high prevalence among isolates
collected by the Fr-NRC[8]. We sequenced the genomes of 55 CP-isolates, 51 collected by
the Fr-NRC (including 22 from colonized patients repatriated from 15 different
countries) and four from Lebanon, and three non-CP isolates of animal origin
(Supplementary Table 1). We reconstructed their phylogeny together with 149 *Ec*
ST410 genome sequences retrieved from public databases (Supplementary table 2). The
phylogeny is in agreement with the recent analysis of CP-*Ec* ST410 from a Danish
collection[13], with a major fluoroquinolone resistant clade (FQR-clade) gathering the
majority of the isolates (160 out of 182) and of the isolates carrying carbapenemase
genes (75 out of 76). Within the FQR-clade 84% of the isolates expressed CTX-M-type
ESBLs (Fig. 1). 55 out of the 59 *bla*$_{OXA-181}$ carrying isolates formed a single subclade (the
OXA-181 subclade) which corresponds to the previously described clade B4/H24RxC[13].
The 27 CP-*Ec* isolates not belonging to the OXA-181 subclade express different
carbapenemases from the OXA-48, KPC and NDM families. To accurately analyse the
evolution of the OXA-181 subclade, we sequenced to completion a representative isolate
of this clade (*Ec*-MAD). *Ec*-MAD carries three plasmids and expresses 16 antibiotic
resistance genes (ARG) targeting seven classes of antibiotics (Supplementary Table 3). It
is resistant to most antibiotic tested, remaining susceptible only to mecilinam,

imipenem, meropenem, amikacin, azithromycin, chloramphenicol, tigecycline and
colistin and intermediate to kanamycin, ertapenem and gentamicin (Supplementary
Table 4). Comparison of the antibiotic resistance gene (ARG) content among ST410 *Ec*
isolates revealed an increase in the median number of ARG between the basal isolates
(n=3), the FQR-clade (n=9) and the OXA-181 subclade (n=16) (Supplementary Fig. 1).

Fig. 1. Core genome phylogeny and genomic features of *E. coli* ST410 isolates.
Maximum likelihood phylogeny of 207 *Ec* ST410 genomes, built with RAxML[14] based on
the core and recombination-free alignment of 5,362 SNPs. The *Ec* ST88 isolate 789
(CP010315.1), also from CC23, was used as an outgroup. Isolates are colour-coded
according to the geographical origin (branch tips) as indicated in the figure key (left).
Genomic features are indicated on the right side of the figure as indicated in the figure
key (right). From left to right: groups according to the phylogeny, including the FQR
clade and the OXA-181 subclade; FQ resistance due to mutations in the QRDR of GyrA
(S83L/D87N) and ParC (S80I) as turquoise blue; CTX-M type ESBLs; Carbapenemases;
SNPs (small vertical red bars) compared to the *Ec* ST410 non-recombined strain
ANSES30599 from the basal clade (highlighted by an arrowhead) as reference;
mutations in *ftsI*, *ompF*, and *ompC*. For CTX-M and Carbapenemase, two colours indicate
the detection of two genes encoding the corresponding β-lactamases. NRC stands for
National Reference Centre. Upper part, genetic map of the *dcw* locus, genes are indicated
by arrows and the *ftsI* gene, in red. Clusters 1 and 2 as defined in Table 1 are indicated
by thin vertical lines next to the tree.

Gain of specific *ftsI* alleles by recombination is a hallmark of Ec ST410
carbapenemase-producing strains. As our phylogenetic analysis provided further
evidence of a worldwide dissemination of the OXA-181 subclade[13], we searched for
polymorphisms that, in addition to the acquisition of ARG, have contributed to the
expansion of this lineage. To this end, we systematically analysed mutations occurring in

the branch leading to its most recent common ancestor (MRCA). Among the 1 745 SNPs

identified in this branch, 92.4 % were located in a 124-kb DNA region between *yaaU* and

erpA (Supplementary Table 5). This variable region was predicted by using Gubbins[15] as

resulting from a recombination event (Supplementary Fig. 2). BLASTN search against

the NCBI database revealed that the recombined region in the OXA-181 subclade is

almost identical to sequences found in four ST167 and eight ST617 isolates from clonal

complex (CC) 10. For instance, only three SNPs over 124 kb were detected between the

recombined region in the OXA-181 subclade and the corresponding region in a ST167

NDM-7-producing *Ec* strain (SCEC76) isolated in China (Fig. 2). Strikingly, all these

isolates except one expressed a carbapenemase gene. Furthermore, among isolates of

the ST410 FQR-clade four additional recombination events were identified that

overlapped the 124-kb recombining region identified in the OXA-181 subclade by

16.5 kb (Supplementary Fig. 2).   All affected CP-*Ec* isolates: OXA-181 subclade; a

subclade of 15 isolates of different geographical origins including six CP isolates

carrying different carbapenemase genes; two closely related CP-*Ec* isolates, one from

India (*bla*$_{NDM-5}$) and one from the Fr-NRC (*bla*$_{OXA-181}$); and two recombination events

affecting a single CP-*Ec* isolate each (Fig. 1). The 16.5-kb common region encompassed

the *dcw* (division and cell wall) locus from *ftsI* to *secM* (Fig. 2). It encodes major

functions in cell wall synthesis and cell division, including *ftsI* encoding PBP3, a target of

diverse β-lactams[16]. Overall, 79% (68/85) of the CP-*Ec* ST410 isolates had recombined

in the *dcw* region. Given this association between recombination at the *dcw* locus and

the presence of a carbapenemase gene, we hypothesized that recombination of this

region in the OXA-181 subclade and other CP-*Ec* ST410 isolates was positively selected

and confers a selective advantage in the context of MDR strains.

Fig. 2. Recombination events at the *dcw* and *ompC* loci. a. Recombination of *ftsI* carrying an YRIN insertion. The *ftsI* gene (in green) of an *E. coli* ST101 isolate was affected by a 12-nucleotide duplication leading to an YRIN insertion after P_{333} and by two additional mutations (E349K and I532L). A 29.5 kb chromosomal region of an ST101 isolate mutated in *ftsI* comprising most of the *dcw* gene cluster was transferred by LGT and recombination into a CC10 strain, which transferred a 124-kb fragment containing the region acquired from *E. coli* ST101 to the common ancestor of the OXA-181 ST410 subclade. **b.** Recombination of *ftsI* carrying an YRIP insertion. The *ftsI* gene of an *Ec* ST156 isolate was affected by a 12-nucleotide duplication leading to an YRIP insertion after P_{333} and a mutation (A413V). A 65-kb region was transferred by recombination into an *E. coli* ST224 strain. **c.** Recombination of *ompC* gene from an ST38 strain. A 22.7-kb region encompassing the *ompC* gene (in orange) was transferred by recombination in the MRCA from the ST167 clade of isolates expressing different carbapenemase genes. Vertical black arrows indicate the limits of the recombined regions and green arrows the direction of exchange. Small vertical red bars represent SNPs compared to the donor strains. CDSs are indicated by blocks, upper line transcribed in the rightward orientation and lower line in the opposite orientation. The *dcw* gene cluster is in grey.

197 SNPs including 16 non-synonymous (NS) mutations differentiated the common 16.5-kb region in the OXA-181 subclade from other *Ec* ST410 isolates (Supplementary Table 5). Among differences, we identified insertions of four codons (YRIN in two cases and YRIK in three, Fig. 3a) occurring at a same position, between

P333 and Y334 of *ftsI*. These insertions resulting from a 12-bp duplication (YRIN) and from a subsequent mutation (YRIK) were first described in NDM-producing *E. coli* isolates from different STs[17]. Two other insertions at the same position, YRIP and YTIP, were also recently reported and result from 12-bp duplications starting two and three codons upstream the YRIN duplication respectively (Fig. 3a)[18]. We identified the YTIP insertion in a cluster of three ST410 *Ec* isolates (Fig. 1), two from China and one from Brazil. These three isolates do not express a carbapenemase, although the two isolates from China were reported as resistant to carbapenems[19]. In these three isolates, we did not observe signs of recombination. This suggested that the YTIP duplication occurred *de novo* in the ST410 background. Additional NS SNPs were identified in the *ftsI* gene. *ftsI* with the YRIN insertion were also mutated at positions 532 (I/L) and 349 (E/K) whereas isolates with the YRIK insertion were mutated at position 413 (A/V). The same A413V mutation was also present in the three isolates showing the YTIP insertion. The YRIK insertion in PBP3 was previously shown to confer reduced susceptibility to different β-lactams including ampicillin, cefepime and aztreonam but not to carbapenems[17]. Therefore, acquisition of a mutated *ftsI* gene might have contributed to the fixation of the recombined *dcw* locus under selection for resistance against β-lactams targeting PBP3

Fig. 3. Functional analyses of *ftsI* and *ompF* mutations occurring in the OXA-181 *Ec* ST410 subclade. **a.** Mutations identified in *ftsI*. The four different insertions following proline 333 resulted in the duplication of the four codons shown in red and blue. The YRIK insertion derived from YRIN by a N to K AA change (in green). The first and second

lines represent the wild type nucleotide and AA sequences respectively. On the right, AA substitutions associated with each duplication are indicated. **b.** Antibiotic susceptibility testing (AST) performed by E-test of MG1655 derivatives mutated in *ftsI* as indicated in the first line. Abbreviation: ATM, Aztreonam; AMX, Amoxicillin; PIP, Piperacillin; CTX, Cefotaxime; MER, Meropenem; ERT, Ertapenem; IMI, Imipenem; CHL, Chloramphenicol. **c.** Schematic representation of the four OmpR binding sites in the *ompF* regulatory region and mutation of the conserved cytosine (C) in the F3 OmpR binding site in red. **d.** Expression of *ompF* and *ompC* genes in two strains from the OXA-181 subclade (EcMad and 83B9, mutated) or from the FQR clade (92B7 and 93G1, wild type) grown in LB medium and in LB medium supplemented with 1M NaCl. Bars represent the confidence interval; *, P < 0.05; **, P < 0.01; ***, P < 0.001.

Recombination of the *dcw* cluster is linked to carbapenemase production.
To determine how general is the association of acquisition of a carbapenemase gene and recombination of the *dcw* gene cluster identified by the four AA insertion in PBP3, we analysed for these two features *E. coli* and *Shigella* genomes from the NCBI database. None of the *Shigella* isolates encoded a carbapenemase gene or carried an insertion in PBP3. 487 *E. coli* isolates (4.4%) encoded a carbapenemase gene and 247 (2.3%) carried a four AA insertion in PBP3: 163 YRIN, 48 YRIK, 3 YTIP and 33 YRIP. 82% (n=204) of isolates mutated in *ftsI* were CP-*Ec* (Supplementary Table 6). All the 164 isolates showing the YRIN insertion were also mutated at position 532 (I/L) and 150 also at position 349 (E/K). Strikingly all YRIK, YTIP and YRIP insertions were associated with the secondary mutation A413V. This A to V AA change is therefore likely selected together with the four AA insertion to reduce susceptibility to antibiotics targeting PBP3 or to reduce the fitness cost of the AA insertion. Globally, this reveals at the species level, a strong link between these combinations of mutations in PBP3 and the acquisition of a carbapenemase gene.

We were able to trace some recombination events leading to mutations in *ftsI* by analysing polymorphisms at the *dcw* locus considering genome-based phylogeny (Fig. 2 and 4). The identification of mutated genes with no signs of recombination showed that YRIN, YRIP and YTIP insertions occurred first in one strain of the ST101, ST156 (Fig. 5) and ST410 lineages (Fig. 1), respectively. *ftsI* with an YRIK insertion is almost identical to ST101 *ftsI* with YRIN insertion and therefore likely derived from it. The four *ftsI* variants were subsequently transferred to other lineages by lateral gene transfer (LGT). For instance, a 29.5 kb region recombined first from ST101 to ST167 and second a 124-kb region from ST167 was recombined into the MRCA of the ST410 OXA-181 subclade

(Fig. 2). Similarly, a 65-kb region with the YRIP insertion in *ftsI* from an ST156 *Ec* strain was exchanged by homologous recombination in the MRCA of a clade of NDM-9 expressing ST224 *Ec* isolates. Analysis of the SNP distribution using the ST101 sequence as reference shows that these recombination events always include the distal mutated part of *ftsI*. The shortest recombination event, detected in a ST167 CP-*Ec* strain (WCHEC16) contains only the *ftsI* gene (Fig. 5a). In total, we detected 52 independent recombination events involving a mutated *ftsI* allele scattered in all *E. coli* phylogroups except the B2 strains. Strikingly, in *Ec* ST131, despite the large number of CP-*Ec* isolates (n=66), no isolate was mutated in *ftsI* (Supplementary Fig. 3).

Fig. 4. Phylogenetic distribution of *E. coli* isolates mutated in *ftsI*. The genome based phylogeny of *Ec* isolates mutated in *ftsI* and of *E. coli* reference strains[20] was constructed by using Parsnp[21]. Mutations in the *ftsI* gene are indicated at the tip of the branch as defined in the figure keys. Major STs are indicated, as well as phylogroups, S standing for

Shigella. Carbapenemase genes are indicated as defined in the figure keys on the right.
SNPs in the *mraZ – murE* region compared to the *Ec* ST101 strain CREC-591 (CP024821)
shown by a black arrow are indicated by small vertical black bars. An ST101 isolate was
chosen as reference, as insertion of YRIN in *ftsI* occurred among this ST. Conservation of
SNP patterns between isolates showing the same mutation in *ftsI* across the *E. coli*
species revealed the exchange of these alleles by recombination.

In addition to ST410, *ftsI* was mutated in the majority of the CP-*Ec* isolates from

ST101 (100%, N=33), ST167 (89%, N=76) and ST405 (83%, N=15) (Supplementary

table 6). Multiple acquisitions of carbapenemase genes across the phylogeny of *Ec*

ST167 have been recently reported[10]. We detected within this single ST eleven events of

recombination corresponding to YRIN (n=9) and YRIK (n=2) insertions in PBP3. Nine

affected at least one CP isolate, including a sub-clade of 56 isolates expressing

carbapenemases from ten different types. Only nine out of the 85 *Ec* ST167 CP isolates

did not undergo recombination at *ftsI* (Fig. 5a).

Fig. 5. Phylogeny and mutations in CP-*Ec* isolates of ST167, ST101 and ST156.
Maximum likelihood phylogenies were estimated as for Fig. 1, using 5871, 2166, and
18774 non-recombinant SNPs for **a.** *Ec* ST167, rooted with the *Ec* ST10 strain MG1655
(NC_00913) **b.** *Ec* ST101, and **c.** *Ec* ST156 respectively, both rooted with the ST1128
strain IAI1 (NC_011741). 14 distantly related non CP-*Ec* ST156 isolates have been
removed from the phylogenetic analysis. Branch tips indicates the presence and the type
of carbapenemase according to the figure key on the left. On the right side of the tree the
genetic features analysed in the present work are represented, from left to right: *bla*CTX-M
ESBL, *gyrA* and *parC QRDR* mutations, the *dcw* region SNPs (represented by small
vertical red bars), mutations in the *ftsI* gene, and different genetic events affecting *ompF*
and *ompC* according to the figure keys at the bottom. Genes from the *dcw* locus are
indicated by arrows and the *ftsI* gene in red. Black arrowheads indicate the isolate used

as reference for SNPs mapping in the *dcw* gene cluster. Clusters and subclusters as
defined in Table 1 are indicated by thin vertical lines next to the trees.
278
Mutations in *ftsI* associated with the YRIN insertion contribute to a
decreased susceptibility to β-lactams targeting PBP3. In order to determine the
contribution of the three mutations (YRIN insertion, E349K and I532L) in *ftsI* identified
in the ST410 OXA-181 subclade to the resistance to β-lactams, we constructed
derivatives of the ST10 *s*train MG1655 with combinations of these mutations (Fig. 3b).
Individually, each mutation showed a low effect on susceptibility to β-lactam targeting
PBP3[16]. However, the combination of two or three mutations led to a stronger decrease
in the susceptibility to these antibiotics. In particular, the MG1655 derivative with the
three mutations showed in the absence of any β-lactamase a 32, 16 and 14-fold increase
of the MIC to the third-generation cephalosporin cefotaxime, to the monobactam
aztreonam and to piperacillin respectively. This strain showed only a slight increase in
the MIC to ertapenem (x4), which targets mainly PBP2 but also in a lesser extend
PBB3[22]. Susceptibility to meropenem and imipenem that show low affinity for PBP3,
was not affected.
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Mutation in the porin genes *ompC* and *ompF* are predicted to also have
contributed to the selection of the ST410 OXA-181 subclade. To identify additional
polymorphisms that might have contributed to the dissemination of the *Ec* ST410 OXA-
181 subclade, we analysed the potential effect of nucleotide substitutions in the branch
leading to its MRCA by using the SIFT algorithm[23]. We identified 34 NS mutations with a
predicted functional effect (nine in the recombined region) (Supplementary Table 7).
These mutations might have been selected for decreased susceptibility to antibiotics or
to alleviate the fitness cost of other mutations, in particular those affecting genes from
the class "transporter" (n=8) including the multidrug efflux transporter components
emrD and *emrK* and the class "cell envelope" (n=5) including *ftsI* mutation I532L.
Among other mutations affecting functions related to the cell envelope, one
mutation detected by SIFT affected the porin gene *ompC* at a conserved arginine residue
in the L4 loop (R191L), one of the gateways for carbapenems (Supplementary Fig. 4)[24].
Arg_{191} is exposed, at the vestibule of the pore lumen and is conserved in OmpF[25]. We
hypothesize that its replacement by leucine, a non-polar AA, affects permeation of β-
lactams into the periplasm.

Although *ompF* coding sequence was not mutated, we identified a mutation in the
regulatory region replacing a conserved cytosine to a thymine residue in the proximal
OmpR binding site, F3 (Fig. 3c)[26]. To quantify the impact of this mutation on *ompF*
expression, we compared *ompF* and *ompC* expression at low and high osmolarity (LB
and LB supplemented with 1M NaCl) in two isolates from the OXA-181 subclade
(mutated) and two isolates from the FQR clade (non-mutated). We observed a 15 to 30
and 5-fold reduction in *ompF* expression in LB and LB-NaCl respectively in the mutated
isolates compared to wild-type, whereas *ompC* expression remained unchanged (Fig.
3d). The strong decrease in *ompF* expression is predicted to reduce β-lactams entry into
the periplasm, possibly with a lower fitness cost than gene inactivation.

Acquisition of carbapenemase genes occurred preferentially in genetic
backgrounds first mutated in *ompC*, *ompF* and/or *ftsI*. In order to determine the
contribution of mutations in *ompC* and *ompF* in the acquisition of carbapenemase genes,
we analysed CP-*Ec* isolates for mutations in the two porin genes. We focused on the 18
STs with at least 5 CP-*Ec* isolates (Supplementary table 6). Within these STs we searched
for mutations in *ompC* and *ompF* coding and promoter regions compared to the
predicted ancestral sequence of the ST and reconstruct their occurrence in the
phylogeny. Out of the 489 CP-*Ec* isolates, 242 and 202 isolates were mutated in *ompF*
and *ompC* respectively, compared to only 138 and 119 out of the 1471 non CP-Ec
isolates (supplementary table 1 and 2). Therefore, likewise *ftsI* mutations, the presence
of a carbapenemase gene was frequently associated with mutations in *ompC* and *ompF*.

Analysis of the distribution of CP-*Ec* isolates within the 18 STs revealed in ten of
them evidence of lineage expansion, i.e. lineages containing isolates from different
geographical origins and at least three CP-*Ec* isolates (Table 1). Up to 24 lineages
enriched in CP-*Ec* isolates were detected, which encompass 338 out of the 489 CP-*Ec*
isolates from these 18 STs. Strikingly we identified mutations in *ompF*, *ompC* and/or *ftsI*
occurring in the MRCA from most clusters. Furthermore, for three of them, ST101-1,
ST167-1 and ST405-1, we were able to define subclusters based on successive
mutations in the three genes.

Table 1: Clusters of CP-*Ec* isolates

Cluster	Subcluster*	Isolates†	Disseminated‡	*ftsI*§	*ompC*#	*ompF*&
ST38-1		21 (21,1)	Y		Group D	
ST38-2		13 (13,1)	Y		Group D	Frameshifted
ST48-1		18 (5,2)	Y		Recombined	
ST101-1	a	19 (18,3)	Y	YRIN - E349K-I532L	Recombined	Frameshifted
	b	4 (4,1)		YRIN - E349K-I532L		
	c	11 (10,3)		YRIN - E349K-I532L	Recombined	
	other	5 (0)				
ST156-1		16 (8,3)	Y			Frameshifted
ST156-2		6 (6,1)	N			Frameshifted
ST156-3		17 (17,2)	Y	YRIP - A413V		
ST167-1	a	64 (57,7)	Y	YRIN - E349K-I532L	Recombined	OmpR-box
	b	3 (3,2)		YRIN - E349K-I532L		
	c	3 (2,1)		YRIK - A413V	Recombined	
	d	5 (4,1)		YRIN - E349K-I532L		
	other	8 (2,2)				
ST167-2		9 (3,2)	Y			Frameshifted
ST226-1		8 (6,1)	N			Frameshifted
ST224-1		9 (9,1)	N	YRIP - A413V		
ST354-1		4 (4,1)	N			Frameshifted
ST359-1		10 (10,3)	N	YRIN - E349K-I532L	Recombined	Frameshifted
ST361-1		8 (8,2)	Y	YRIN - E349K-I532L	G138D	
ST405-1	a	6 (5,1)	Y	YRIK - A413V	Group D	Frameshifted
	b	7 (1,1)		YRIK - A413V		
	other	23 (4,3)				
ST405-2		8 (5,4)	Y	YRIK - A413V	Group D	
ST405-3		4 (3,2)	Y	YRIK - A413V	Group D	
ST410-1		60 (58,2)	Y	YRIN- E349K-I532L	R191L	OmpR-box
ST410-2		15 (6,4)	Y	YRIK - A413V		
ST448-1		5 (3,2)	Y	YRIN - E349K-I532L		
ST617-1		6 (5,2)	N	YRIN - E349K-I532L		
ST648-1		14 (14,1)	N		Group D	
ST746-1		16 (11, 1)	Y		Recombined	
ST131-1		9 (9,1)	N			
ST131-2		6 (6,1)	N			

*clusters and subclusters as shown in Fig. 1, *Fig*. 5 and Supplementary Fig. 3, 5, 6 and 7 and in Supplementary Table 1 and 2; †number of isolates in clusters or subclusters, in parentheses, number of CP-*Ec* isolates and number of carbapenemase types, ‡Considered as disseminated (Y) if it includes isolates from different countries; §Mutations in *ftsI* are according to Fig. 3a, #"Group D" means that the isolates are of phylogroup D and "recombined" that the *ompC* gene has been replaced by an allele from the phylogroup D type. &OmpR-box corresponds to mutations in an OmpR binding site.

In total, we identified *ompF* mutations affecting 10 clusters of isolates corresponding to 212 CP-*Ec* isolates out of the 242 CP-Ec isolates mutated in this porin gene. These mutations either led to *ompF* inactivation by a frameshift or altered OmpR boxes in the promoter region as observed in the ST410 OXA-181 subclade. On the other hand, nine genetic events in *ompC* occurred in the MRCA from clusters or subclusters

and affected 182 isolates out of 202. In addition to the R191L mutation in the OXA-181

ST410 subclade we identified in the disseminated lineage ST361-1 a mutation (G138D)

in the constriction loop L3 of OmpC[25] predicted to reduce its permeability to β-lactams

(Supplementary *Fig*. 4). The same AA change occurred independently in CP-*Ec* isolates

from ST448 and ST617 (Supplementary Fig. 5). However, the most frequent *ompC*

modification associated with CP-*Ec* clusters was its replacement by recombination by

alleles originating from phylogroup D strains (n=7), as observed in the broadly

distributed ST167-1a subcluster with a 22.7 kb recombined region from ST38 (Fig. 2c)

Furthermore, in addition to ST38[8,9] four other STs from phylogroup D: ST354, ST405,

ST457 and ST648 contained CP-*Ec* isolates (Supplementary Fig. 6). Strikingly, OmpC

proteins from phylogroup D isolates differ from other *E. coli* OmpC proteins at the two

previously mentioned G138 and R191 residues, suggesting a naturally reduced

permeability to ß-lactams(Supplementary Fig. 4). Mutations in *ftsI* were the most

frequent events as they were present in the MRCA of 19 lineages or sublineages

enriched in CP-*Ec* isolates and affected 235 isolates.

Eventually, all disseminated clusters were mutated in at least *ftsI*, *ompC* or *ompF*

or have a *ompC* allele from phylogroup D. Seven clusters or subclusters like the ST410

OXA-181 subclade were mutated in the three loci. The comparison of the occurrence in

the phylogeny of mutations in *ompF*, *ompC* and *ftsI*, and the acquisition of

carbapenemase genes revealed that mutations in most cases occurred first, contributing

to the emergence of lineages and sublineages, which subsequently acquired

carbapenemase genes. This model is best exemplified by the three lineages ST101-1,

ST167-1 (Fig. 5) and ST405-1 (Supplementary Fig. 6) first mutated in *ompF*, then in

ompC and/or in *ftsI* leading to nine sublineages that gained carbapenemase genes from

different classes. On the contrary, we did not detect clusters of isolates mutated in one of

these three genes among ST131 isolates. Furthermore, we did not gain evidence for

internationally disseminated lineages among ST131 isolates. Among the 66 ST131 CP-*Ec*

isolates, we identified only two clusters of isolates but without any evidence of

international dissemination[12,27] (Table 1, Supplementary Fig. 3).

Isolates of the OXA-181 subclade show higher resistance without *in vitro* fitness cost as compared to other isolates of the FQR clade. To determine the impact of mutations and ARG on the resistance of *Ec* isolates along the ST410 FQR clade, we compared, by disk diffusion assay and E-test, β-lactam susceptibility of six isolates from the *Ec* ST410 FQR-clade producing or not OXA-181 and with different mutations (Fig. 6). These isolates were chosen as they all express CTX-M15 and all but one express Oxa-181. We observed a gradual decrease in the susceptibility to diverse β-lactams between the four groups of isolates: CTX-M15 < CTX-M15, OXA-181 < CTX-M15, OXA-181, YRIK insertion in PBP3 < OXA-181 subclade (Fig. 6a). Isolates from the OXA-181 subclade were resistant to almost all β-lactams tested except carbapenems. Higher resistance was partly due to differences in β-lactamase gene content including $bla_{OXA-181}$ (Supplementary table 8). However, mutations in *ftsI*, including the YRIK and YRIN insertions were likely responsible for the decreased susceptibility of ST410 Ec isolates to β-lactams targeting PBP3 like ceftazidime and aztreonam (Fig. 6b). Surprisingly, the isolates from the OXA-181 subclade show only a minor decrease in the susceptibility to carbapenems compared to ST410 isolates $bla_{OXA-181}$ positive not mutated in *ftsI*, *ompC* and *omp*F (Fig. 6b).

To determine whether these mutations have an impact on fitness we compared growth parameters in LB, MH and M9 media as proxy. Despite the higher resistance to antibiotics, we did not detect any significant differences in the growth parameters in rich medium among the six isolates tested (Fig. 6c) suggesting these mutations have no fitness cost or their effect has been compensated by other mutations. The two isolates from the OXA-181 subclade and the non-OXA-181 isolate 32139 grew at a higher OD_{600} in minimal medium than the three other isolates (Fig. 6c). Therefore, the high level of resistance to most β-lactams and the decreased susceptibility to carbapenems of isolates of the OXA-181 subclade do not seem to be at the expense of a lower *in vitro* fitness for the isolates we have analysed.

Fig. 6. β-lactams susceptibility profiles and fitness of *Ec* ST410 strains. a. β-lactams susceptibility determined by disk diffusion. Diameters are indicated in mm. Resistant, Intermediate and susceptible according to CLSI guidelines[28] are indicted by colours as defined in the figure keys. 32139 carries *bla*CTX-M15, 93G1 and 92B7 carry *bla*CTX-M15 and *bla*OXA-181, 94G8 carries *bla*CTX-M15 and *bla*OXA-181 and a mutated *ftsI* gene (YRIK), 8389 and *Ec*Mad belong to the OXA-181 subclade. **b.** Minimal inhibitory concentrations (MIC) determined by E-test for selected β-lactams. **c.** Growth curved in rich (LB and Müller Hinton, MH) and minimal (M9) medium. Curves represent the average value of 10 experiments. Blox plot representations of the area under the curve of replicates determined by using growthcurver [29] are given in Supplementary Fig. 8. Abbreviations: AMX, Amoxicillin; TIC, Ticarcillin; PIP, Piperacillin; FEP, cefepime; CEF, cephalothin; AMC, Amoxicillin - clavulanic acid.; CTZ, Ceftazidime; TZP, piperacillin-tazobactam; FOX, Cefoxitine; CXM, Cefuroxime; TCC, Ticarcilline - clavulanic acid; ATM, Aztreonam; MEC, Mecillinam; MOX, Moxalactam; CTX, Cefotaxime; DOR, Doripenem; ETP, Ertapenem; IMI, Imipenem; MER, Meropenem. Antibiotic resistance genes repertoires of the six strains are given in Supplementary table 8.

Discussion

The global dissemination of antibiotic resistant clones results from a trade-off between acquired resistance and biological cost[30]. Here, we show that carbapenemase genes were preferentially fixed in lineages mutated in genes contributing to β-lactam resistance. Mutations in *ompC* and *ompF* affect permeation into the periplasm, whereas mutations in *ftsI* reduce the susceptibility to antibiotics targeting preferentially PBP3. We have described 15 disseminated lineages mutated in one, two or the three loci. The recently reported CP-*Ec* lineages from *Ec* ST410 B4/H24RxC[13] (OXA-181 subclade) and *Ec* ST167[10] are mutated in these three genes. Most clusters include CP-*Ec* isolates producing different carbapenemases indicative of multiple acquisitions in the same genetic background as observed in cluster ST167-1 (Fig. 5a). However, a global dissemination following the acquisition of a carbapenemase gene is evidenced in the ST410 OXA-181 subclade where all isolates share the same plasmid expressing *bla*$_{OXA-181}$ [13] (Fig. 1) and in clusters ST38-1 and -2 where the *bla*$_{OXA-48}$ gene is inserted at conserved position on the chromosome[9] (Supplementary Fig. 6). Contribution of mutations in porin genes to carbapenem resistance is well documented. It is generally assumed that these mutations are selected following the acquisition of carbapenemase genes under the selective pressure of carbapenems. However, our analysis reveals a different scenario with mutations in these genes occurring before the acquisition of carbapenemase genes. In six clusters, we observed successive mutation events, like in cluster ST167-1, first mutated in the *ompF* promoter region and subsequently submitted two and five times independently to recombination of *ompC* and *ftsI* genes respectively (Fig. 5a).

We identified four combinations of mutations in *ftsI* associated with CP-*Ec* isolates. Each arose only once and disseminated widely across the species by LGT (Fig. 4). The probability of such combinations is very low, but the strength of the selective advantage led to their multiple independent fixation in different genetic backgrounds except in phylogroup B2. Whereas, the inactivation of *ompF* gene or its decreased expression by mutations in OmpR binding sites was associated with the dissemination of nine clusters of CP-*Ec*, inactivation was not observed for *ompC* (Table 1). Loss of OmpC might have a high fitness cost precluding further spreading. On the other hand, the replacement by LGT of *ompC* by alleles originating from phylogroup D strains is the most frequent event with a total of 15 independent events associated with

CP-*Ec* isolates. Overall, the contribution of the recombination of specific *ompC* and *ftsI*

alleles in the evolution of β-lactam resistance of CP-*Ec* isolates along with the acquisition

of resistance plasmids was largely underestimated.

Despite the high prevalence of ST131 CP-*Ec* reported in different studies[11,31,32], there was no

indication of global dissemination of a specific lineage among the 66 ST131 CP-*Ec* genome

sequences we have analysed (Supplementary Fig. 3). We did not observe replacement of *ftsI*

by mutated alleles or of *ompC* by alleles from the phylogroup D. ST131 isolates had a major

contribution to the dissemination of CTX-M family ESBL. Surprisingly, only 30% of the

ST131 CP-*Ec* isolates produced also a CTX-M ESBL compared to 80.5% for CP-*Ec* isolates

from clusters in other STs (Supplementary Table 2). Selection of ST131 CP-*Ec* isolates

follows therefore a different trend compared to other lineages that might not be compatible

with their global dissemination yet.

Despite the presence of the *bla*$_{OXA-181}$ gene and mutations in *ftsI*, *ompC* and *ompF*,

isolates of the *Ec* ST410 OXA-181 subclade do not show a phenotype of resistance to

carbapenems. In contrast, they are highly resistant to other β-lactams. This high level of

resistance compared to those of other isolates from the ST410 FQR clade results both

from the genomic mutations and from differences in β-lactamase spectrum (Fig. 6a,

Supplementary table 8) and seems not to be at the expense of fitness as compared to

isolates expressing only CTX-M15 (Fig. 6c). In particular the acquisition of mutations in

ftsI by LGT is predicted to led to a strong decrease in susceptibility to β-lactams of

therapeutic importance like aztreonam and cefotaxime, as shown in the ST10 MG1655

background (Fig. 3) with only a minor effect on ertapenem resistance. OXA-181

hydrolyses different β-lactams in addition to carbapenems[33]. Therefore, we propose that

carbapenems were not the main driving force for the acquisition of *bla*$_{OXA-181}$ by the *Ec*

ST410 subclade. This model for the selection of CP-*Ec* lineages is in line with the

observation that VIM-1-producing *Ec* isolates are detected in animal herds in Germany

despite the fact that carbapenems have not been used in this context[34] and of the significant

prevalence of *bla*$_{NDM}$-positive *E. coli* in Chinese poultry production [35].

The risk of a global spreading of CP-*Ec* strains in the hospital and in the community is

a major concern. These new perspectives on the selection of CP-*Ec* clones largely

independent of the use of carbapenems need to be taken into account in β-lactams usage

recommendation to prevent their dissemination. Furthermore, the follow up of mutations and

recombination events in *ompC*, *ompF* and *ftsI* deserves to be considered in the global

surveillance of β-lactam resistance in *E. coli* as lineages mutated in these genes are

preferential recipients of carbapenemase genes.

Material and methods

Bacterial isolates, growth conditions and antibiotic susceptibility testing. Features

of the *E. coli* isolates analysed in this work are listed in Supplementary table 1. 51 *Ec*

ST410 isolates came from the strain collection of the French National Reference Centre

(Fr-NRC) for Antibiotic Resistance. Four *Ec* ST410 clinical isolates came from the

Microbiological collection of the Université Libanaise (CMUL). the Public Health Faculty

of the Lebanese University (Tripoli, Lebanon) and three ST410 isolates of animal origin

from the ANSES strain collection. Antibiotic susceptibility was performed by the disk

diffusion method or by broth microdilution assays following the Clinical & Laboratory

Standards Institute (CLSI) guidelines[28] or by E-test (Biomérieux) following the

manufacturer's recommendations. Fitness was determined by growth curve analysis

with an automatic spectrophotometer Tecan Infinite M200 during 24 hours in LB,

Müller Hinton or M9 media supplemented with 0.4% glucose. Growth metrics were

estimated with the R package "growthcurver" [29]. The area under the curve (AUC) which

include contributions of the most important growth parameters (log phase, growth rate,

and the carrying capacity) was used as a growth metric.

Genome sequencing, and genome sequences retrieved from sequence libraries. *Ec*

genomes were sequenced by using the Illumina HiSeq2500 platform, with 100

nucleotides (nt) single reads for the four isolates from Lebanon and 100 nt paired-end

reads for the other isolates. Libraries were constructed by using the Nextera XT kit

(Illumina) following the manufacturer's instructions. The OXA-181-producing *Ec*-MAD

ST410 isolate was selected as a reference strain and sequenced to completion by using

the long read PacBio technology. 10 947 *E. coli* and 1 451 *Shigella* genome sequences

deposited in the NCBI database (19th June, 2018) were retrieved for a global analysis of

the specificity of CP-*Ec* (Supplementary table 2). 96 additional *Ec* ST167 isolates were

retrieved from Enterobase (https://enterobase.warwick.ac.uk/). Raw reads from 62 *Ec*

ST410 and 21 *Ec* ST38 isolates identified in Enterobase (march 2017) were retrieved

from the NCBI database. (Supplementary table 2)

Sequence assembly, genome annotation and mutations identification. The PacBio

reads were assembled with the RS_HGAP_Assembly.3 protocol from the SMRT analysis

toolkit v2.3[36], and with Canu[37]. The consensus sequence was polished with Quiver[36] and

by mapping Illumina reads. Illumina sequenced isolates were assembled with SPAdes[38],

and the quality of the assemblies was assessed with Quast[39]. Contigs shorter than 500

bp were filtered out. All assemblies were annotated with Prokka[40]. The presence of

antibiotic resistance genes, and plasmid replicons was assessed with ResFinder[41] and

PlasmidFinder [42] respectively. The software was run in local from the script and

databases downloaded from the repositories of the Centre for Genomic Epidemiology

(https://bitbucket.org/genomicepidemiology/). Graphs of genomic regions of interest

were drawn with genoplotR[43]. All downloaded genomes were reannotated with

prokka[40]. For each ST type analysed the pangenome was characterized with Roary[44],

and the AA sequences of OmpC, OmpF, GyrA, ParC, and FtsI were identified from the

orthologous table generated by Roary. To determine the presence of different *ompC*

alleles within the different STs, OmpC AA sequences were clustered with cd-hit[45], with a

sequence identity threshold of 0.95. AA sequences for GyrA and ParC were aligned with

the mafft L-INS-i approach[46], and the amino acids at the QRDR positions for both genes

were filtered with customized perl scripts.

Phylogenetic reconstruction. A core genome alignment was obtained for all *Ec* ST410

isolates, and strain 789 that belongs to the ST88 as an outgroup with parsnp[21]. Non-

recombinant SNPs were extracted from the core genome alignment with Gubbins[15], and

the Maximum likelihood (ML) phylogeny was obtained with RAxML[14], using the General

Time-Reversible (GTR) substitution model with a gamma-distributed rate. The same

procedure was followed for the phylogenetic reconstruction of the different *E. coli*

lineages. Maximum likelihood phylogeny of OmpC protein sequences was inferred with

RAxML[14]. OmpC protein sequences were aligned with the mafft L-INS-i approach[46].

Gblocks[47] was used to "clean" the alignment and the best fit model (WAG, with a gamma

distribution) was estimated with protest 3[48]. The visual display of phylogenetic trees

was done with FigTree (http://tree.bio.ed.ac.uk/software/figtree/), and annotated trees

with the script plotTree.R (https://github.com/katholt/plotTree). The final version of

the tree was edited with Inkscape (https://inkscape.org/es/).

Mapping, variant calling, and identification of SNPs of interest. Sequence reads for

Ec ST410 isolates were mapped against the complete reference genome *Ec*-MAD with

BWA[49]. Variant calling was performed with the Genome Analysis Toolkit v 3.6.0[50]. The

criteria for variants were: occurrence of the alternative base in more than 90% of the

reads covering the position, a depth coverage of at least 10 (DP > 10), a quality by depth

(QD) > 2, a fisher strand bias (FS) < 60, a mapping quality (MQ) > 40, a mapping quality

rank sum test (MQRankSum) > -12.5, and a read position rank sum test

(ReadPosRankSum) > -8. Variants associated with different clades of the *Ec* ST410

phylogeny were extracted with vcftools[51], and finally they were annotated with snpEff[52].

The effect of the non-synonymous mutations was assessed with the Sorting Intolerant

From Tolerant (SIFT) algorithm[23]. The algorithm searches for protein homologs in the

refseq database using mutated proteins as query and assigns a score to each position.

This score is weighted by the properties of the AA changed. If this score is below a

threshold (0.05) the change is predicted to be functional.

Construction of *ftsI* mutant strains derivatives. To analyse the potential effects on

antibiotic resistance of the mutations identified in the *ftsI* gene of the isolates from the

OXA-181 subclade, we introduced the 12 nt insertion (YRIN form) and the two non-

synonymous SNPs (E349K and I532L) into the *Ec* strain MGF

(MG1655strepR_F'tet_ΔtraD::Apra) by TM-MAGE[53]. Briefly, overnight culture of strain

MGF transformed by pMA7SacB was used to inoculate 5 ml LB medium supplemented

with tetracycline (7.5 μg/l) and carbenicillin (100 μg/l) (LB-TC) and grown at 37°C until

OD_{600} reached 0.6-0.7. The recombinase and Dam methylase were induced by addition

of L-arabinose (final concentration of 0.2% w/v), and further incubation for 10 min.

Cultures were then chilled for 15 min on ice and centrifuged at 7300g at 4°C. Two

successive washes by 50 and 10 ml of cold water were performed and the final pellet

was resuspended in 200 μl water. 100 μl of cells were used for electroporation with 2 μl

oligonucleotides Mut1ftsI or Mut2ftsI (Supplementary table 9) alone or in combination

at 20 μM each. The Mut1*ftsI* oligonucleotide carries both the 12 nt insertion and the

E349K mutation, while the Mut2*ftsI* oligonucleotide has the I532L mutation. The content

of the electroporation cuvette was used to inoculate 5 ml of LB-TC and submitted to
three additional cycles of growth-induction-preparation of electrocompetent cells and
electroporation. Following the last electroporation step, cells were resuspended in1 ml
LB and plated onto LB-TC agar plates. Mutations in isolated colonies were tested by PCR
using primers complementary to mutant or wild-type alleles (Supplementary table 8).
Mutated colonies were grown on plates containing 10 g/l tryptone, 5 g/l yeast extract,
15 g/l agar and 5% w/v sucrose for plasmid curing. Mutant strains were sequenced by
using Illumina MiSeq platform, with 150 nt paired-end reads and Nextera XT kit
(Illumina) for library preparation. Reads were mapped onto the MG1655 genome
(Genbank NC_000913.3) to confirm that mutations in *ftsI* gene have been correctly
introduced and to check that the rare off target mutations are not predicted to interfere
with the β-lactam susceptibility phenotype (Supplementary table 9).

RNA extraction and quantitative RT-PCR. Bacteria were grown in LB medium until
OD_{600} reached 0.30-0.33, an osmotic shock was applied by supplementing 10 ml of
culture with 0.3M, final concentration of Sodium Chloride (NaCl) or with the same
volume of water as control and further incubation for 20 minutes. Bacterial pellets were
collected and stored at -80ºC. Total RNA was extracted with the Total RNA purification
kit Norgen Biotek. cDNAs were synthetized from 500 ng of RNA with the Superscript II
reverse transcriptase (Invitrogen, Life Technologies). Primer pairs were designed for
the *ompC* and *ompF* genes, targeting divergent regions from these two genes, and for the
reference gene *recA* (Supplementary Table 8). The SYBR Green PCR kit (Applied
Biosystems, Life Technologies) was used to perform quantitative PCR, and the relative
expression of porin genes was measured by a standard curve method where the
regression analysis was performed from serial dilutions of a mixture of control cDNAs.
The expression value of each gene was normalized against the expression of the
housekeeping gene *recA*. Each point was measured in triplicate, and three independent
cultures were used for each strain in each condition.

Statistical analysis The statistical significance of the differences in expression in RT-
PCR experiments was assessed by using a two-tailed t-test. The statistical significance of
the differences in the number of ARG between the three Ec ST410 groups and of the area
under the curve between six isolates from the ST410 FQR clade was assessed using the

Wilcoxon rank sum-test implemented in R (v3.4.4). One-sided test was used for the

comparison of the number of ARG, and two-sided test was used for the comparison on

the area under the curve analysis."

Data availability. Illumina reads from the 57 newly sequenced isolates and the

complete genome assembly of strain Ec-MAD have been deposited in the EMBL

nucleotide sequence database (http://www.ebi.ac.uk/ena) under study accession

number PRJEB27293 and PRJEB27274 respectively. The accession numbers for

individual isolates are listed in Supplementary Table 1. Code of software scripts could be

obtained upon request.

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Authors contribution

RPN, IRC and NC performed experiments; LG, JT, JYM, MH, RB and TN collected

and provided the samples for the study; RPN, retrieved genome sequences from public

databases, wrote scripts and performed all the bioinformatics analyses; RPN, IRC, NC

and PG analysed the data; TN provided expertise on CP-*Ec*; RPN and PG designed the

study; PG was responsible for management of the project; RPN, IRC, TN and PG wrote

the manuscript. All authors approved the manuscript prior to submission.

Conflict of interest

The authors declare no competing financial interests.

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