

1 **Patterned progression of gut microbiota in**
2 **association with preterm infants to**
3 **necrotizing enterocolitis and late onset**
4 **sepsis: prospective pilot data from a**
5 **non-Western population**

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28 **ABSTRACT**

Background and Objectives

Recent studies associate intestinal microbiota dysbiosis with necrotizing enterocolitis(NEC) and late onset sepsis(LOS) preterm infants in western countries. To date, there is no report of similar studies performed among non-Western population. In this pilot study, we profiled gut microbiota of NEC and LOS patients from birth to deceased or discharged.

Methods

We enrolled preterm infants with gestational age less than 33 weeks and birth weight more than 950g, from July 2013 to December 2014. We began fecal sample collection from the meconium until death or discharge, whichever came the first. Bacterial V3 V4 region of 16s rRNA genes from each stool sample were amplified and pyrosequenced. With the use of RM two-way ANOVA and Zero-Inflated Beta Random Effect models to account for repeated measures, we found out the development of NEC or LOS associated with gut bacterial communities.

Results

A total of 192 fecal samples from 24 patients were studied, of whom four developed NEC, three LOS; the remaining 17 were used as controls. The microbial community structure in stool samples from both case groups differed significantly from those in controls stools. The divergence emerged after three days of life. In the random effect model, the time-by-onset interaction is positive. The post-partum gut microbiota colonization started to diverge among NEC, LOS and their matched control groups, from the second week after birth. Microbiota of the LOS infants was the least diversified (Shannon index=1.66), while that of the control group was the most diversified(Shannon index=0.88, $p=0.01$). Potentially pathogenic genus *Enterococcus* (20.86%) and *Staphylococcus* (8.67%) were prominent in NEC patients and *Klebsiella* (42.15%) in LOS group. Both two groups addressed lower proportion of *Lactococcus* (7.98% and 13.76% in NEC and LOS group, respectively) than the control group (3.66%).

Conclusions

post-partum colonization pattern of gut microbiome might predispose preterm newborns to NEC or LOS, in which reduced diversity of the whole microbiota community and potentially pathogenic genus could have played an essential role in disease progression. Still, more studies are needed to identify etiological strains, underlying mechanisms and correspondent microbial patterns.

INTRODUCTION

Gut microbiota is a key contributor to human health and its dysbiosis has been proven to be associated with various diseases, such as atherosclerosis(Tang et al., 2017), obesity(Bouter et al., 2017), neuropathy(Sarkar et al., 2016), liver diseases(Tilg et al., 2016), etc. Temporal colonization pattern of the intestinal microbiota during early stages of life also provided evidence of its association with early life events, including Type 1 diabetes(Giongo et al., 2011; Vatanen et al., 2018), asthma(Stokholm et al., 2018) and allergy(Madan et al., 2012; Savage et al., 2018).

In preterm infants, perturbations in intestinal microbiota establishment during early stage of life, characterized by fewer observed species, less diversity, higher variability and more abundant potential pathogens such as *Escherichia coli*, *Enterococcus* sp., and *Klebsiella pneumoniae* (Schwiertz et al., 2003; Bezirtzoglou et al., 2011), are prevalent due to minimal contact with the birth canal microbes, high rates of broad-spectrum antibiotics usage, lack or delay in enteral feeding, being nursed inside a sterile incubators where daily contact to human skin microbes is limited(Deweerd, 2018). It may then initiate a cascade. As a result, microbiota harboring abnormalities has been implicated as a key factor to the vulnerabilities to preterm-associated health consequences, such as necrotizing enterocolitis and late-onset sepsis.

Necrotizing enterocolitis, characterized by unpredictable, rapid progression, high morbidity and mortality, threatens mostly in preterm newborns; its etiologies remains elusive. Previous studies conducted in the US, Europe have suggested intestinal microbiota dysbiosis implicated in the condition. Several studies in Europe and the US have suggested that NEC is associated with both reduction in microbiota diversity and unusual microbial composition colonization(Jacquot et al., 2011; Warner et al., 2016). So far, there is no consensus as to the causative species in this condition. Studies reported phyla Proteobacteria increase and Firmicutes decrease before NEC onset(Mai et al., 2011; Zhou et al., 2015). Bloom of *Gammaproteobacteria* and under-representing in *Negativicutes* was in chronological association with the condition(Warner et al., 2016).

#% early pattern a/w LOS LOS is another major contributor to neonatal morbidity and mortality among preterm infants. However, no relevant studies have analysed sequences from non-western infants population. Hence, we conducted this prospective study in Chinese preterm infants, with the aims to identify whether intestinal microbiota dysbiosis precedes and therefore, may cause NEC or LOS.

METHODS

Ethics

This study was approved by the joint committee of ethics of Shanghai Children's Medical Center, School of Medicine Shanghai Jiao Tong University (SCMCIRB-K2013022). Detailed written informed consent was obtained from patients' parents before enrollment.

Patients

Newly born preterm infants with gestational age less than 33 weeks, birth weight over 950g were enrolled from Neonatal Intensive Care Unit at Shanghai Children's Medical Center from July 2013 to December 2014. The exclusion criteria were 1) diagnosed with early-onset sepsis, 2) hepatic diseases, 3) renal impairment (Cr >88 μ M), 4) diagnosed with intestinal obstruction, 5) in foreseeable need of cardiovascular or abdominal surgeries (except for male circumcision or PDA ligation), 6) estimated parenteral support to supply over 50% of daily caloric intake for more than four days, 7) given intravenous antibiotics administration (except prophylactic regimen of cefotaxime, piperacillin-tazobactam and/or metronidazole), 8) history of oral antibiotics administration, 9) grossly bloody stools at admission, and 10) over five days old.

NEC cases were defined as infants who met the criteria for Stage II and Stage III NEC diagnosis (Bell et al., 1978), including radiographic intestinal dilation, ileus, pneumatosis intestinalis, and/or absent bowel sounds with or without abdominal tenderness, and/or mild metabolic acidosis and thrombocytopenia. LOS cases was diagnosed if 1) an infant had a positive hemoculture or other suspicious loci of infection after 72 hours of life, with septic signs/symptoms reviewed independently by at least two neonatologists, and had been treated with advanced antibiotics (e.g., Meropenem) after diagnosis. Infants with no infectious complications or sepsis were regarded as controls.

Sample collection and handling

Fecal samples collection began from neonatal meconium till discharge. Although we intended to collect fecal samples on a daily basis, due to working shifts and flexible clinical scheduling, we set seven days as the maximum interval between two collections from every infant. Every sample was collected within 30 minutes of defecation from infants' diaper with a sterile spatula. The samples were immediately placed in a cryogenic vial on dry ice and stored at 80°C within 30 minutes without additives. All samples were collected and stored before knowing the diagnosis of respective patients.

DNA extraction and quality control amplification and 16s rRNA gene sequencing

Microbial genomic DNA was isolated from each fecal specimen using the E.Z.N.A.® Soil DNA Kit (Omega Bio-Tek, Norcross, GA, U.S.) according to manufacturer's protocols. The concentration and purity of the DNA were determined by NanoDrop 2000 UV-vis spectrophotometer (Thermo Scientific, Wilmington, USA), and the DNA quality was checked by 1% agarose gel electrophoresis.

Broad-range PCR and High-throughput Sequencing of 16s rRNA gene amplicons

The V3-V4 hypervariable regions of the bacterial 16S rRNA gene were amplified from each sample using bacterial/archaeal primers 338F (5'-ACTCCTACGGGAGGCAGCAG-3') and 806R (5'-GGACTACHVGG GTWTCTAAT-3') using thermocycler PCR system (GeneAmp 9700, ABI, USA). The PCR reactions were as follows: 3 min of denaturation at 95 °C, 27 cycles of 30 s at 95 °C, 30 s annealing at 55 °C and 45 s elongation at 72 °C, and a final extension at 72 °C for 10 min. The PCR reactions were performed in triplicate, with each 20 μ L mixture containing 4 μ L 5X FastPfu Buffer, 2 μ L 2.5 mM dNTPs, 0.8 μ L of each primer (5 μ M), 0.4 μ L FastPfu Polymerase and 10 ng template DNA. The PCR products were extracted from a 2% agarose gel and further purified using the AxyPrep DNA Gel Extraction Kit (Axygen Biosciences, Union City, CA, USA), and quantified using QuantiFluor™-ST (Promega, USA) according to the manufacturer's protocols.

Equimolar amounts of purified amplicons were pooled and paired-end sequenced (2 x 300) on an Illumina MiSeq platform (Illumina, San Diego, USA) according to the standard protocols of Majorbio Bio-Pharm Technology Co. Ltd. (Shanghai, China). The reads were de-multiplexed using the Illumina software and separate FASTQ files were generated for each specimen and deposited to the Sequence Read Archive NCBI under the BioProject accession PRJNA470548. Another public archive repository is available at figshare doi: 10.6084/m9.figshare.7205102

Raw Data Processing

Raw data was processed according to the standard protocols provided by Majorbio Bio-Pharm Technology Co. Ltd. (Shanghai China) as previously described (Liu et al., 2018; Wang et al., 2018). In short, the protocols are as follows: After pyrosequencing, de-multiplexed sequence reads were subjected to quality filtering utilizing Trimmomatic software (version 0.36) (Bolger et al., 2014), and were truncated at any site with a Phred score <20 over a 50bp-sized window; barcode matching with the primer mismatch from 0 to 2 nucleotides was adopted and reads containing ambiguous characters were removed. After trimming, FLASH (Fast Length Adjustment of Short Read) (Magoč and Salzberg, 2011), a read pre-processing software, assembled and merged the paired-end reads from fragments and generated >10 bp overlapped, with the dead match ratio 0.2. Unassembled reads were discarded. To fairly compare all the samples at the same sequencing depth, the "sub.sample" command of mothur program (version 1.30.1) (Schloss et al., 2009) was used for normalization to the smallest sample size. UCHIME Algorithm detected chimeric sequences, removed chimera to obtain effective reads, which were then sorted by cluster size and processed using Operational Taxonomic Units (OTUs) with 97% similarity cutoff UPARSE-OTU algorithm (implementing "cluster_otus" command) (Edgar, 2013) in USEARCH (v10) (UPARSE version 7.1). The taxonomy of each 16S rRNA gene sequence was analyzed by RDP Classifier algorithm (Wang et al., 2007) against the Silva (SSU128) (Quast et al., 2012) 16S rRNA database using confidence threshold of 70%. Each sequence was assigned the taxonomy by QIIME (Caporaso et al., 2010). The representative sequences were allocated phylogenetically down to the domain, phylum, class, order, family, and genus levels. The relative abundance of a given taxonomic group was calculated as a percentage of the sequences number belonging to that group divided by the total number of obtained sequences. Within-sample diversity (alpha diversity) analysis, including Shannon index and Observed species richness (sobs), were obtained using the "summary.single" command of mothur program (version 1.30.1) (Schloss et al., 2009). Between-sample diversity (beta diversity) analysis was obtained estimating weighted UniFrac distances between samples.

Statistical and Bioinformatics Analysis

Demographics and Clinical Sample comparisons

Kruskal-Wallis test and Wilcoxon rank-sum test were used to identify statistically significant differences in continuous variables, including gestational age, birth weight, age when the patients were diagnosed and length of hospitalization. The χ^2 , or Fisher's exact test were used to identify differences in gender composition. α level was considered 0.05 for all statistical tests. All statistical test not involving microbiome 16S rRNA sequencing data was performed using "stats" package using R (v.3.5.1).

Microbiota and Bioinformatics Analyses

Disease-related Time Interval Definition Under the circumstance that the sampling and disease onset timepoints for each patient were not perfectly universal, to illustrate the continuous longitudinal and repeated nature of the sampling and its relationship with onset and progression of diseases, we splitted the whole sampling span into 7 time intervals:

1. early post-partum (EPP): within 3 days after birth
2. early pre-onset (EPO): from the end of EPP to at least four days before disease onset
3. late pre-onset (LPO): from the end of EPO to the start of onset; for control group patients, the onset time is set at 16 days of life, as is the average diagnosis age of NEC and LOS groups.
4. early disease (ED): first third interval of whole disease span
5. middle disease (MD): second third interval of whole disease span
6. late disease (LD): last third interval of whole disease span
7. post disease (PD): from the end of disease to discharge time-point

Diversity Analyses The average of α diversity, if more than two were available within one analysis interval, of each patient was calculated. Kruskal Wallis tests were used to test shannon diversity differences either among groups within a time interval or among time intervals within a certain group. Repeated measures two-way ANOVA, with time intervals(EPP, EPO, LPO, ED, MD, LD, PD) as a within-subject factor and groups (NEC, LOS, control) as a between-subject factor) and Sidak's multiple comparisons test was used to test time-with-disease shannon diversity changes.

Modeling Strategies for Taxonomy Comparisons To compare the dynamics of microbiota diversity and relative taxonomic abundance preceding the disease, we took into account the EPP, EPO, LPO and ED interval among all patients and fit(Supplementary matrix1). To compare the microbiome profile right after birth until disease alleviation, we selected EPP, EPO, LPO, ED, MD and LD interval of NEC and LOS patients(Supplementary matrix2 dataset). The average taxonomy relative abundances, if more than two were available within one analysis interval, of each patient was calculated. Zero-Inflated Beta Regression Model with Random Effects (ZIBR) and Linear Mixed-effects Model(LME) were used to test the association between OTU relative abundance and clinical covariates (diseases-related time intervals) for longitudinal microbiome data (Chen and Li, 2016). *ZIBR* and *nlme*(Pinheiro et al., 2018) R packages were utilized for each model.

Figures were generated with the "*ggpubr*"(Kassambara, 2017) and "*ggplot2*"(Wickham, 2016) packages using R(v.3.5.1). Scripts for modeling and figures plotting, input and output files, figures are available at our github repository.

Scripts and Figures Archiving

Figures were generated with the "*ggpubr*"(Kassambara, 2017) and "*ggplot2*"(Wickham, 2016) packages using R(v.3.5.1); Scripts for data analysis are available at our github repository

RESULTS

Overall 16s Sequencing Report and Coverage

A total of 7,472,400 optimized V3-V4 tags of 16s rRNA gene sequences were produced from 192 fecal samples, with an average read length of 448 bp (Table S1).

Patients characteristics

Totally 130 infants met the criteria of our study, and 1698 samples were collected from them in the neonatal intensive care unit (NICU) at Shanghai Children's Medical Center from July 2013 to December 2014. Among whom, we studied 192 fecal samples from 24 well-sampled preterm infants, including four subsequently diagnosed with NEC (2 in stage IIA and 2 in stage IIB), three with LOS, and 17 matched controls (Figure1 ,Supplementary Table S2). Fecal samples were collected between days 1 and 69 of life. Sampling timepoints and numbers of samples varied among each infant.

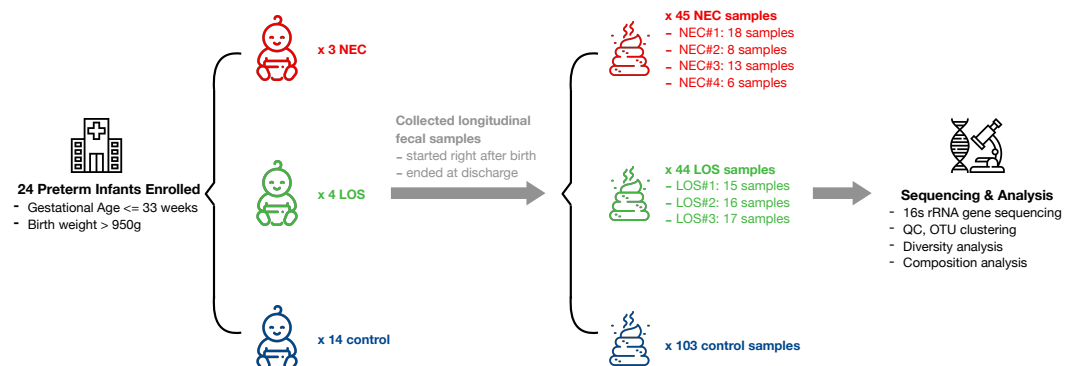


Figure 1. Flow of Study Design

218 All infants were delivered by cesarean section and fed on infant formula. No one was prescribed probiotics
 219 during hospitalization. Comparisons showed no significant difference in terms of gestational age, birth
 220 weight and gender proportions, diagnosed age among three groups (Table 1). Length of stay among three
 221 groups was significantly different however rational since NEC and LOS patients usually require longer
 222 period of healthcare because their worse health status often required longer health care time than the
 223 control group. All infants were delivered by cesarean section and fed on infant formula. No one was
 prescribed probiotics during hospitalization.

Table 1. Demographic characteristics of Preterm NEC, LOS and control groups.

| | NEC (N=3) | LOS (N=4) | Control (N=17) | Statistical Test | <i>p value</i> |
|--------------------------------|--------------------------|--------------------------|---------------------------|------------------------|----------------|
| Gestational Age (weeks) | 29(29-30) | 30(29-31) | 31(28-33) | Kruskal-Wallis test | 0.074 |
| Birth Weight(g) | 1416.3 (773.4-2149.1) | 1141.7 (633.4-1649.9) | 1527.4 (1391.6-1663.1) | Kruskal-Wallis test | 0.111 |
| Gender | | | | Fisher's exact test | 0.82 |
| | Female 3(75%) | 2(67%) | 9(53%) | | |
| | male 1(25%) | 1(33%) | 8(47%) | | |
| Diagnosis Age(days) | 16(11-19) | 16(10-22) | — | Wilcoxon rank-sum test | 0.629 |
| Length of Stay(d) | 54.3 (13.5-95.0) | 60.0 (24.8-95.2) | 32.9 (26.3-39.5) | Kruskal-Wallis test | 0.046 |
| Number of Samples | 46 | 42 | 103 | — | — |

224

225 **Dynamics of Microbiome Diversity in diseases onset and progression**

226 ***Mircobiome Richness Played Minor Roles***

227 Overall, all three groups shared similar microbiota richness trend after birth, that the observed richness
 228 (Sobs) decreased significantly from post-partum period until the late disease stage (Fig2a. NEC group, p
 229 = 0.044; b. LOS group, p = 0.013; c. control group, p < 0.01; supplementary!!! rm-matrix1-sobs, two way
 230 RM ANOVA, p < 0.0001). Nevertheless, the inter-time-interval comparison among groups (supplementary
 231 sobs-time-group!!!!) didn't show any significant alterations and differences in sobs, indicating the minor
 232 effect of microbiota richness on the diseases acquisition.

233 ***Recession of Mircobiome Evenness Preceded NEC and LOS***

234 Although, microbiota communities evenness among all patients, reflected by shannon diversity indices,
 235 tended to decrease after birth(Fig3, supplementary!!!! rm_matrix1_shannon, p < 0.0001), the shannon
 236 index of the NEC and LOS groups, from the early pre-onset interval to early disease decreased significantly
 237 (Fig3a.NEC group, early pre-onset = 1.92, early disease = 0.58, p = 0.04, b. LOS group, early pre-onset =
 238 2.47, early disease = 0.47, p = 0.01), while the control group did not show the similar trend (Fig3c.control
 239 group, early pre-onset = 1.81, early disease = 1.00, p = 0.05).

240 The inter-time-interval comparison among three groups showed signifant shannon index divergent during
 241 during early pre-onset interval (two way RM ANOVA, p = 0.0017 supplementary!!!) and the early disease
 242 stage(Fig4, p = 0.0037), implying the role of microbiota distortion in triggering NEC and LOS. As
 243 infants aged, two disease groups showed a non-significant difference in community evenness(Fig4 facet
 244 "middle disease", p = 0.034), indicating a similar community distribution pattern in both NEC and LOS
 245 development. Furthermore, alleviation of both diseases restored the microbiota evenness back to the level
 246 during early pre-onset interval (Fig3 a. NEC, early pre-onset vs. post disease, p = 0.79; b. LOS, early
 247 pre-onset vs. post disease, p = 0.16).

248 ***Kinetics of Microbiome Composition***

249 To evaluate time-wise differences in beta-diversity between the microbiomes, we applied Principal
 250 Component Analysis (PCoA) to weighted UniFrac distance metric matrices, considered by timer intervals.

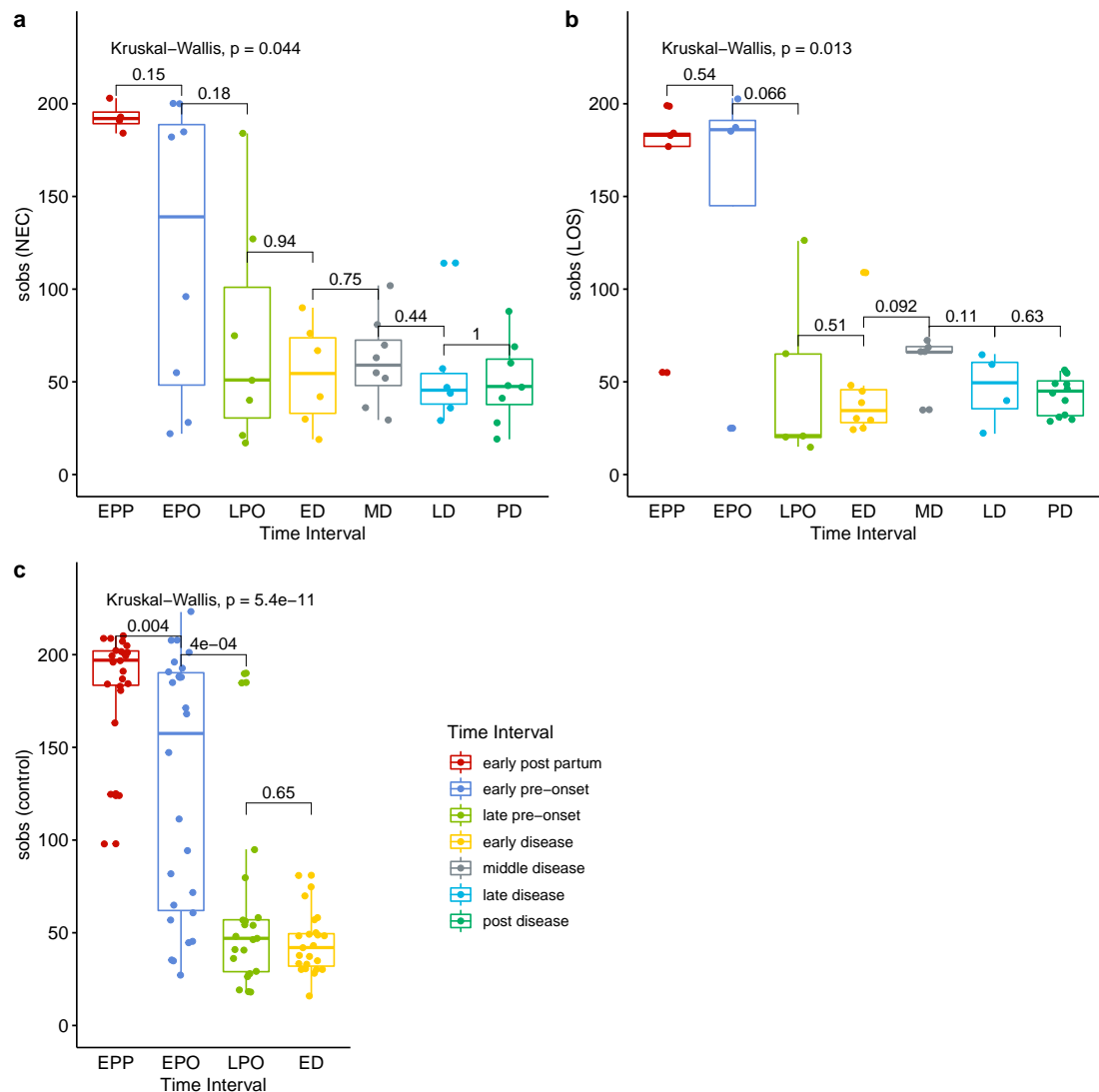


Figure 2. Post-partum microbiome richness (Sobs) trend in each group

During early post-partum interval, there appears to be no clear difference in beta-diversity among three groups, with the first principal coordinates accounted for 33.01%. In the process of entering diseases status, beta diversity continued drifting away, with the first principal coordinates accounted for 35.23% in early pre-onset phase, 38.36% in late pre-onset phase and 42.32% in early disease phase (Fig5). During the middle, late and post disease interval, samples from NEC and LOS groups clustered together respectively(). This phylogenetic dissimilarity indicated the different etiopathology and antibiotic regimes between NEC and LOS.

Potentially Pathogenic Genus Represented Both NEC and LOS Groups

To investigate specific genera that affect the course of diseases development, we filtered the genus of over 10% relative abundance among all samples and performed tests on a time-interval scale.

Before disease onset, ZIBR model showed significant time-by-NEC and time-by-LOS interaction factors for the progression over time of *Bacillus* and *Solibacillus*. Stools from both disease groups showed significantly higher *Bacillus* ($p = 0.032$) and lower *Solibacillus* ($p = 0.047$) relative to control samples (ZIBR table cited). Furthermore, both case groups experienced a rapid decline in *Bacillus* when approaching disease stages (NEC from 15.053% in early post-partum to 0.011% in early disease interval; LOS from 15.967% in early post-partum to 0.002% in early disease interval).

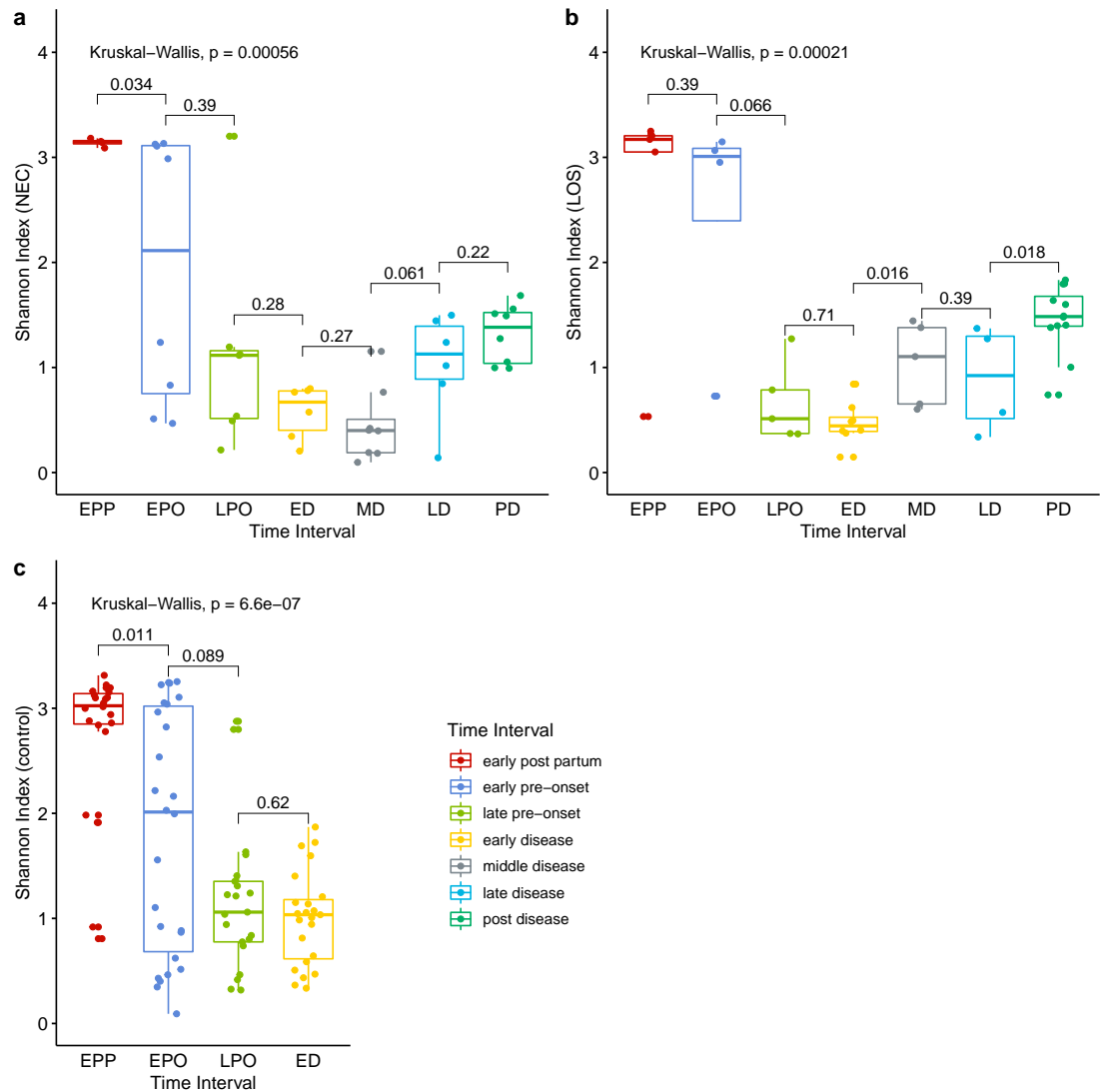


Figure 3. Post-partum microbiome evenness(shannon diversity index) trend in each group

For NEC samples, Enterococcus increased significantly from 0.009% in late pre-onset phase, to 28.801% in early disease and 58.959% in middle disease interval ($p = 0.032$). Meanwhile, after its transient boost in late pre-onset interval(27.231%), Staphylococcus had been constantly presented (12.571%) until late interval of NEC. Relative to control samples(6.010%), NEC samples showed higher Streptococcus(14.439%, $p = 0.023$) starting from late pre-onset stage to late disease stage. Peptoclostridium increased during late disease stage(#diarrhea!!)(Fig6a).

For LOS patients, a significant outburst of Klebsiella (EPP: 4.7%, EPO: 2.376%, LPO: 58.902%) with diminishment of other genus were characterized prior to the disease onset. Later on, Klebsiella aggressively dominated the intestine throughout the whole course of disease(ED: 73.529%, MD: 69.506%, LD: 45.333%). By contrast, Escherichia-Shigella, which might well be impacted by advanced antibiotics including Meropenem, was absent from late pre-onset to early disease interval(0.005%, $p = 0.026$ and 0.003%, $p = 0.045$, respectively), restored until middle disease interval(14.762%, $p = 0.042$) and became the second abundant genera dominating the intestine in late disease(48.336%, $p = 0.262$)(Fig6b)

DISCUSSION

This study investigated the microbiome diversity and composition over time, of the Chinese preterm infants who subsequently developed necrotizing enterocolitis or late-onset sepsis. The main findings

were that among case stools, the overall microbiota diversity was reduced and specific compositional characteristics of the microbiota was associated with potentially pathogenic genus, such as *Enterococcus*, *Staphylococcus* and *Streptococcus*.

Both case groups and control group showed decrease in richness and evenness after birth. In previous studies Several studies suggested a reduction in microbiota community diversity Community richness

1. alpha 1.1 evenness minor roles 1.2 richness decrease during (corresponding 4 7 dol) may precede diseases, less diversified β -diversity consistent with the hypothesis that dysbiosis precedes this severe event.

2. beta 3. over/underrepresenting of certain genus 4. Microbiome optimization – a novel strategy

Our study has its limitations. We acknowledge that the sample size is limited since this study is single-center-based and the incidence of both diseases are relatively low: among the 1148 preterm infants admitted within July 2013 to December 2014, only five developed NEC. The resultant overfitting possibility inevitably rose up, which became the pitfall in understanding the true microbiota patterns of NEC and LOS. Our results, however, showed the needs of an exceptionally larger, more heterogeneous study population and longer follow ups, to draw a more meaningful and solid conclusion within the non-western population.

CONCLUSIONS

To our knowledge, our study is the first to report intestinal microbiota of preterm infants in Chinese population using 16s rRNA gene NGS data. Intestinal microbiota diversity reduction and phylogenetic dissimilarity away from healthy infants over time is associated with both NEC and LOS onset. Prevalence of potentially pathogenic genera over-growth were recognized, i.e. *Enterococcus*, *Streptococcus* and *Peptoclostridium* in NEC cases; *Klebsiella* in LOS cases. Our results is a starting point for further studying of microbial factors involved in preterm-associated complications within China range. A better understanding of microbial risk signatures in longitudinal microbial community assembly during early life, including its colonization mechanism and interaction with intestinal immunological responses, would assist in better understanding the etiology and assist in development of alternative biomarkers for early diagnosis and facilitate novel prevention and treatment strategies, to protect predisposed preterm infants in Chinese population.

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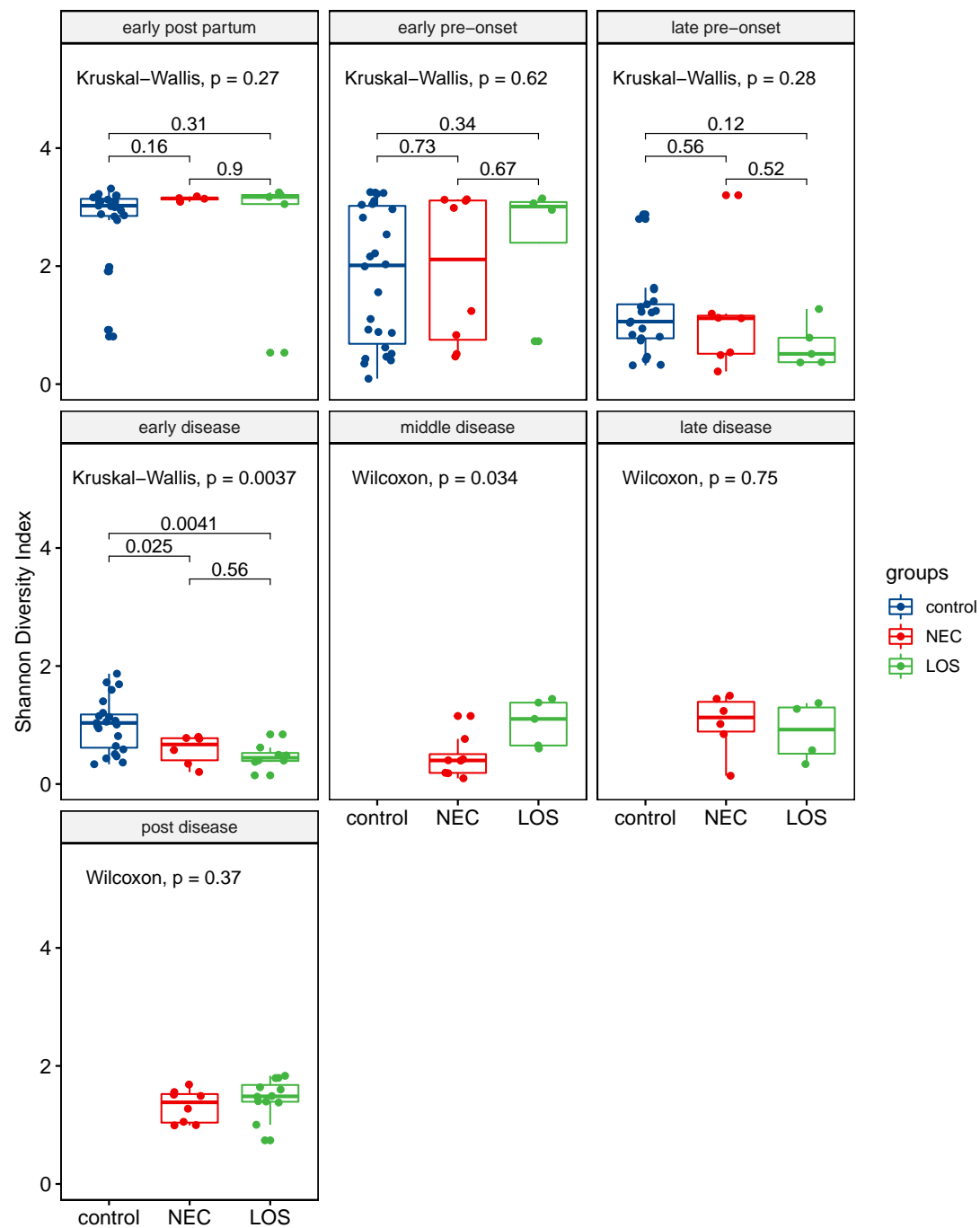


Figure 4. Post-partum microbiome evenness(shannon diversity index) trend in each time interval

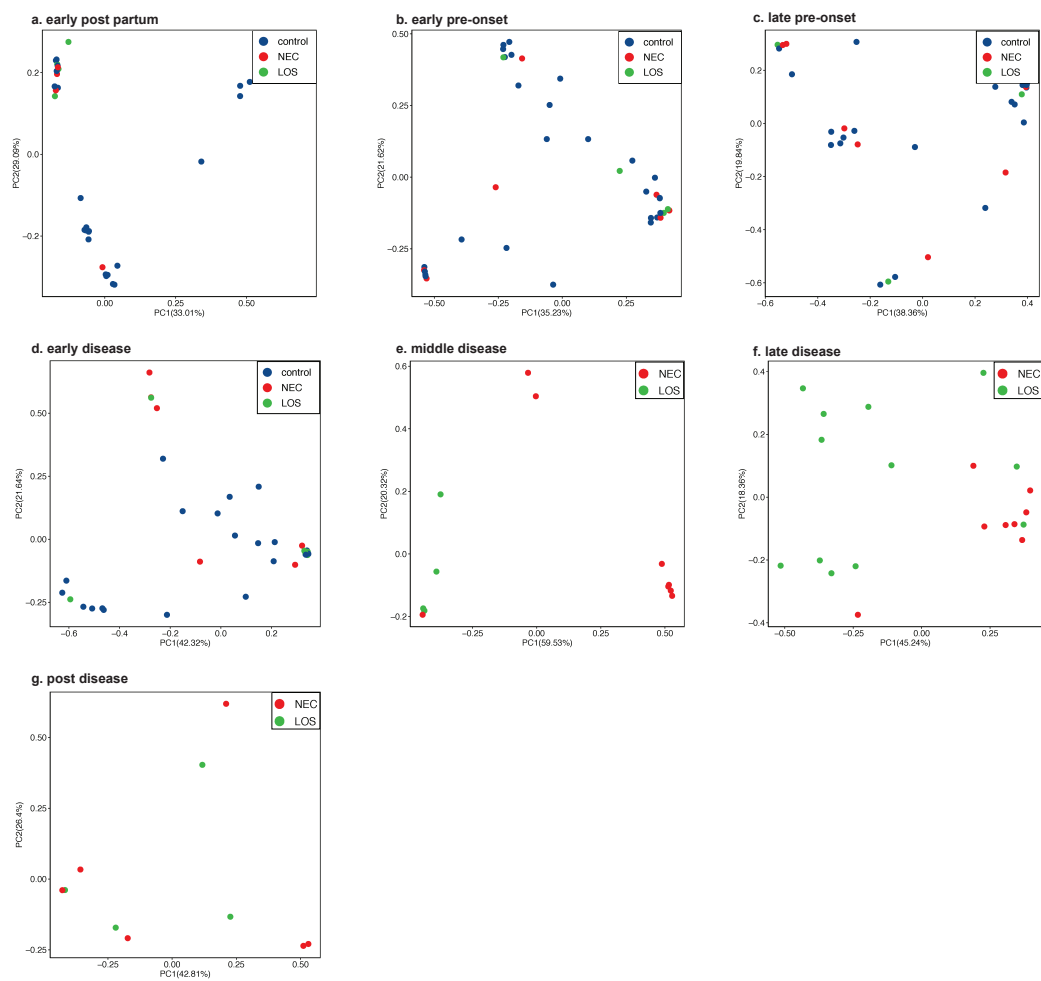


Figure 5. Beta Diversity

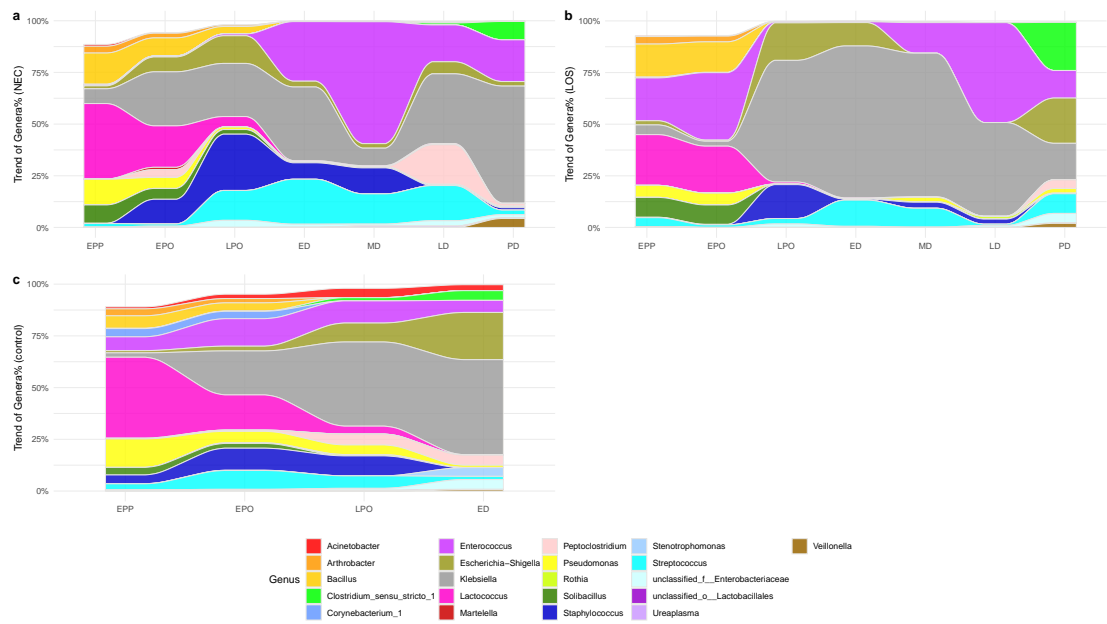


Figure 6. Kinetics of Genera Relative Abundance