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To engraft or not to engraft: An Ecological Framework for Gut Microbiome Modulation with Live Microbes

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Abstract

Strategies aimed at modulating the gut microbiota by using live microbes range from single strains (probiotics or live biotherapeutics) to whole non-defined fecal transplants. Although often clinically efficacious, our understanding on how microbial-based strategies modulate gut microbiome composition and function is vastly incomplete. In this review, we present a framework based on ecological theory that provides mechanistic explanations for the findings obtained in studies that attempted to modulate the gut microbiota of humans and animals using live microbes. We argue that an ecological perspective grounded in theory is necessary to interpret, design, and predict the impact of microbiome-modulating strategies and thus advance our ability to develop novel and improved approaches with enhanced therapeutic efficiency.

Graphical abstract

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Using live microbes to modulate the gut microbiota

The gut microbiota is a critical determinant of human health by directly contributing to pathologies, influencing host predisposition to disease, and providing cues to maintain metabolic and immunological functions [1]. The crucial role of the microbiome in disease has been clearly proven in various animal models, providing a compelling case to design strategies that modulate gut microbiota composition and function. Such modulations can range from small temporary alterations in the compostion and/or metabolic output of the community to a more permanent and global transformation of microbiome structure. Although our mechanistic understanding on how the microbiota relates to human health is still in its infancy, and few cause-and-effect relationships have been established, microbiome-modulating strategies are increasingly aimed to redress dysbiotic patterns in both composition and function that are associated with disease [2].

One approach to modulate the gut microbiota is through the oral administration of live microorganisms [3*]. These strategies range from pure cultures of live microorganisms or consortia thereof, which are referred to as probiotics or live bio-therapeutics [4], to complex preparations of whole stool, such as Fecal Microbiota Transplants (FMT), or stool components (microbial cells, spores) [5]. Together, these strategies have been tested in a wide range of clinical contexts, with varying degree of success. Although various mechanisms have been established or suggested by which administered microbes exert their benefits, a modulation of gut microbiota composition and/or function is often one of the driving motivations to apply these approaches [3*]. Novel technologies based on nextgeneration sequencing now provide unprecedented insight into the effect of live microbes on the gut microbiome. There is substantial literature published describing the effects of probiotics on the gut microbiota composition, and although most strains show good survival during gastrointestinal passage and remain metabolically active, most human studies have shown extremely short persistence [6] and little effect on the composition of the resident microbiota [7]. FMTs appear to be much more successful in engrafting bacterial strains into an established gut microbiota [8*,9], but the reasons for these differences have been hardly studied and poorly understood. What the field currently lacks is a conceptual understanding of the effect of live bacteria on the gut microbiota and their potential to modulate the community.

Given that the digestive tract and its microbiota operate as a highly interactive and coevolved ecosystem in which interactions among members and community characteristics are governed by the principles of community ecology [10], we argue that the modulation of gut microbiomes can only succeed when based on ecological and evolutionary criteria. The introduction of a microorganism into a gut ecosystem can be considered a biological invasion of non-native microbes into a highly adapted resident microbial community [11]. Here we apply concepts from invasion and general community ecology to develop a theoretical framework to understand the success of live microbes introduced into the digestive tract and their ecological impact on the resident microbial community. We then apply this framework to explain the findings that have been obtained with currently used microbiome-modulating interventions (probiotic strains and mixtures, synbiotics, and

FMTs) in different contexts, and discuss its implications for the development of improved strategies and the open questions and challenges that remain.

An Ecological Framework

Biological invasions can be conceptualized as a multifaceted process that can be broken down into a series of at least four stages [12]. This framework, which has been recently extended to microbial invasions [13*], can be directly adopted towards microbiomemodulating strategies (Figure 1). Invasion stages are associated with barriers that must be overcome by the incoming microbe to allow colonization and an impact on community composition and/or function. From the incoming microbe's perspective, the organism must be first introduced in an active form and in sufficient numbers (step 1), and secondly overcome the immediate habitat filters of the gastrointestinal tract to become established (step 2). Once established, the microbe must be able to gain access to resources under the competitive conditions of at least one site within the gastrointestinal tract to become metabolically active within the local community (step 3). If the local conditions allow the potential colonist to satisfy its minimum requirements so that replication is equal or greater to wash-out, the it has successfully occupied an ecological niche and persists, resulting in colonization [4,14]. Although colonization might not be necessary for ecological impact, it is still required that the invader is able to attain sufficient metabolic activity at a local site to engage in interactions with the resident members of the community (e.g. through competition, antagonism, or mutualism) that will ultimately cause changes to microbiota composition and/or function (step 4).

The outcome of each of these steps, and the factors that influence them, are strictly governed by ecological principles. The field of invasion ecology comprises numerous hypotheses designed to explain both the success and consequences of invasions. By integrating 29 hypotheses, Catford and colleagues postulated that invasion is a function of propagule pressure (P), the abiotic characteristics of the invaded ecosystem (A), and the 'biotic' characteristics of the invaded community and the invading organism (B) [12]. We have now adapted this framework towards microbiome-modulating strategies (Figure 2) by integrating specific ecological principles applicable to host-microbiome symbioses [10]. Given that the invaded ecosystem resides within a living host, we do not refer to its characteristics as 'abiotic' but instead 'host-related'. In addition, we combine components of propagule pressure (such as the number of individuals introduced and the temporal frequency of the introduction) with the characteristics of the introduced organisms. We further apply principles of general community ecology (e.g. colonization history) and evolutionary biology (e.g. evolutionary history of colonists) (Figure 2). The resulting framework postulates that the successful establishment of microbes in the gastrointestinal tract is a function of the interplay between the characteristics of the potential colonist (C), hostrelated factors (H), and microbiome-related mechanisms (M). We discuss these three themes (Figure 2) and their key hypotheses (Table 1) below, and provide examples that demonstrate that these concepts are applicable to the gut microbiome.

Characteristics of the potential colonist (C)

According to the propagule pressure hypothesis, successful invasions require a sufficient number of individuals to enter the ecosystem [12], which relates to the cell numbers (or dose) of the treatment and frequency with which they are applied. Once introduced, the microbes need to possess traits to overcome the habitat filters and compete for available resources while avoiding predators. Microbe(s) are more likely to possess such traits if they share an evolutionary association with the gastrointestinal tract and, if host specific, a particular host species [15], and if not extensively adapted to 'in vitro' conditions, which could lead to evolutionary 'trade-offs' that reduce fitness in the gut.

Most species used as probiotics survive passage through the intestinal tract. Persistence of these bacteria, however, is for the most part short-term, even for probiotic strains isolated from the human gut [6]. A likely reason for this finding is that most commercial strains belong to species (e.g. *Lactobacillus* species and *Bifidobacterium animalis* subp. *lactis*) that are allochthonous to the human gastrointestinal tract, and therefore lack the required traits to successfully colonize gut ecosystems [16,17]. In contrast, *B. longum* subsp. *longum* AH1206, which is likely autochthonous to the human gut as it belong to a species of the human core gut microbiome [18], can be stably established in a subset of humans for at least 6 months [19*]. One characteristic of autochthony is a joint evolutionary history with the host [20]. Several *Bifidobacterium* species have a demonstrated joint relationship with humans [21], providing a potential explanation for the long-term persistence of *B. longum* subsp. *longum* in humans $[19*]$. The importance of the evolutionary history of the incoming microbes is supported by the fact that microbiomes originating from mice outcompete those originating from other hosts [22]. In addition, strains of L. reuteri can only efficiently colonize Lactobacillus-free mice if they originate from rodents but not from other hosts [23]. This greater ecological fitness of rodent strains is associated with traits that have specifically evolved to overcome habitat filters, for example, genes to overcome rapid flow of the digesta (through adherence) [24] and acid resistance [25].

Several hypotheses in invasion ecology underscore the importance of genotypic and phenotypic diversity and plasticity of the incoming species pool (Table 1). The higher the number of different genotypes that are introduced, the higher the chance that some organisms will have the right adaptations to be successful, and genotypic and phenotypic plasticity enable rapid adaptation to the new environment [12,13*]. By design, probiotics, even when used as mixtures, have a lower genetic diversity than FMTs. Recent studies have shown that a surprisingly large subset of strains engraft after FMT, even if the micobiome of the recipient is not severely perturbed [8*,9].

Invasion ecology further predicts an important role of 'enemies' for successful colonization (Table 1). Given the dominant role of bacteriophages in shaping the composition of bacterial populations in the gut [26], it is likely that resident strains display at least some level of resistance against indigenous phages. After an FMT, the recipient microbiome becomes subjected to donor-derived phages to which they were not previously exposed to and that have the potential to inhibit or kill resident bacteria, opening niches for incoming microbes. In fact, Zuo and co-workers showed that the treatment response in FMT was associated with a high colonization level of donor-derived Caudovirales taxa that may have played a role in

the success of the treatment [27*]. Future research is warranted to test the importance of the 'enemy of my enemy' hypothesis in gut microbiome modulation and specifically determine if phages contribute to engraftment during FMTs.

Host related mechanisms (H)

There are virtually hundreds of host-related factors that constitute habitat filters and/or specifically select for the microbes that are most fitted, and their discussion is beyond the scope of this review. However, a few concepts are important to highlight (see also Table 1). First, habitat filters are influenced by the host's physiology, metabolism, and immune system, which are in themselves influenced by the host's genetics, health status, environment, and diet. Second, they lead to the selection of microbes with common traits, which therefore results in trait underdispersion and, in most cases, phylogenetic clustering [12]. By being dominated by only five bacterial phyla out of the hundreds of phyla found in terrestrial and aquatic ecosystems, the gut microbiota is phylogenetically underdispersed, showing the importance of strict selection through habitat filters [10]. In addition, habitat filtering is likely a key mechanism that underlies the "like will to like" rule, meaning there is a higher success of engraftment of incoming strains (both as single organisms or in FMTs) when related species are already present [8*,28]. The host also selects for specific coevolved symbionts through the provision of adhesion sites [24] and resources in the form of secreted glycans (including mucus and milk glycans) [29]. These resources, together with those provided through the host's diet, are key components of the available niches for which the incoming microbes have to compete for.

Microbiome related mechanisms (M)

Competition for resources is a key mechanism that determines species coexistence [12] and thus the success of colonization (Table 1). Communities with higher diversity and evenness are considered more resilient to invasions as they exploit resources more efficiently [13*], while perturbations of the community frees resources and generates 'opportunity windows' for invasions [12,30]. Accordingly, FMTs have a much higher degree of engraftment in patients with Clostridium difficile diarrhea whose microbiome is severely perturbed [31] compared to patients with metabolic syndrome [8*].

There are several additional hypotheses that concern resource availability but focus on specific members within a community. Niche-differentiation provides a 'stabilizing' effect that decreases negative interactions between the invader and the resident species [32]. In other words, the chance of invasion increases if the invader is functionally distinct from the species present in the recipient community by avoiding competition for resources; this is referred to as 'limiting similarity' (LS) [12]. Since closely related strains are on average functionally more similar, competition is generally more severe between them (an observation already noted by Charles Darwin in The origin of Species) [33]. These concepts appear to apply to the stable establishment of B . longum subsp. longum in the human gut, as the microbiome of subjects permissive to colonization ('persisters') had significant lower abundance of the species B. longum as well as of genes involved in carbohydrate utilization [19*]. Interestingly, some 'persisters' with high levels of B. longum still lacked functional genes, suggesting that although the 'limiting similarity' hypothesis applies, the functions

that determine invasion were not phylogenetically conserved in all subjects. Overall, LS leads to opposing phylogenetic patterns when compared to habitat filtering, favoring different species with limited overlap in their niches [34]. Which of the two processes ultimately dominates in determining which species coexist and assemble within gut microbial ecosystems is likely to be context and taxon dependent, with higher selective pressure (for example during inflammation) favoring habitat filtering over competition for resources.

Other M-related mechanisms are antagonism (e.g. through bacteroicins), mutualism (facilitation), and predation (bacteriophages and protozoa). Probiotics could fail to engraft due to bacteriophages and/or bacteriocins present in the ecosystem to which the strain is susceptible to, but these topics have, to our knowledge, not been systematically studied.

Interactions between C, H, and M

The themes discussed above do not act in isolation (Figure 2). Incoming microbes have the potential to induce host responses (immune reactions, glycan formation and composition, etc.) that alter habitat filters [35]. In addition, once established and metabolically active, microbes alter niches for others and themselves [36]. Microbes can then continue to adapt to the dynamic environment that emerges through microbe-microbe and microbe-host interactions [10]. In fact, 'adaptability' of the incoming microbe is considered an important characteristic according to the 'evolution of improved competitive ability' hypothesis [12], but this has hardly been considered to date.

This evolutionary perspective on invasions underscores the importance of the timing of colonization, which can have a major effect on the interactions between C and M through ecoevolutionary feedback [37,38]. A colonist can gain an advantage over competing species if introduced before the latter's arrival. Through priority effects, species that arrive early can reduce the amount of resources available for later arrivers, decreasing their competitive fitness [37]. In addition, early arrivers can increase their own fitness relative to later arrivers through adaptations [38]. Both mechanisms will enhance colonization of microbes that are introduced before competitors arrive, and apply during early microbiome assembly in infancy, but also after perturbations of already assembled microbiomes (e.g. after antibiotics) [37–39].

Ecological impact

The objective of microbiome-modulating strategies is a targeted alteration of the composition and/or function of the resident gut microbiota. For this outcome to happen, C, H, and M (Figure 2) have to be accommodating if not favorable for colonists to occupy niches (Step C in Figure 1) long enough to initiate metabolic activities that allow them to engage in competitive, antagonistic, or symbiotic interactions with other community members that would alter their abundance (Step D in Figure 2). The literature is often prone to unrealistic expectations on what current probiotics can achieve in this respect. Several studies claim that allochthonous microbes with marginal persistence can induce substantial changes to gut microbiota composition that, in some cases, even persist long after the strains has been washed out [40,41]. However, the mechanisms by which such dramatic shifts

would occur have not been identified yet, and many studies do not control for confounders (compositional changes during storage of fecal samples, clustering by sequence run, cage effects in animal studies, etc.) that might be responsible for the findings. In fact, most wellcontrolled studies have shown that allochthonous strains have no impact on microbiome composition [40,42,43].

In Table 2, we summarize the characteristics of currently available microbial-based strategies for microbiome modulation, there impact on the ecosystem, their limitations, and how they might be improved. We argue that because of colonization resistance of gut ecosystems, and their homeostatic and resilient nature [44], it is not surprising that allochthonous organisms do not exert major effects on the gut microbiome. Lacking the necessary traits to efficiently compete for resources (step 3 in Figure 1), allochthonous strains are unlikely to attain sufficient metabolic activity to compete or antagonize well adapted members of the resident microbiota. In contrast, autochthonous microbes (either single organism, mixtures, or FMTs) can be introduced into the gut if a niche is available [19*] or if introduced strains have sufficient fitness to compete with resident species [8*]. This can be exploited to specifically reintroduce species that went 'missing' after antibiotic treatment or reestablish diversity in disturbed microbiomes, allowing both fine-tuning and community restoration (Table 2). If the incoming strains are antagonistic or mutualistic towards resident members in the ecosystem, specific alterations within the overall community could be the result.

From an ecological perspective, it will probably prove difficult to reconfigure communities that are not severely perturbed (e.g. to achieve a healthier state), as this would require the replacement of keystone species. If keystone species were to be replaced by other microbes through competitive exclusion, the incoming microbes would have to occupy the same niches, which would mean that the community would likely maintain the same functions. However, the incoming strains could possess additional traits, which could alter ecosystem functionality as a whole. A more complete reconfiguration of an unperturbed community will probably require the removal of a large part of the original members through subtractive strategies [3*]. In addition, if the dysbiosis to be corrected is the result of a pathology, habitat filtering will ultimately select for similar microbiome patterns once the treatment is stopped. Future research should be devoted on the identification of mechanisms that could restructure host associated microbiomes, also considering prospective strategies that focus on early windows of microbiome assembly.

Implications and challenges

It is important to point out that neither colonization nor microbiome modulation *per se* are necessarily requirements for microbial-based therapeutics to exert benefits, as they might arise through immune modulation or other direct effects on the host. However, engraftment may increase efficacy, especially if health effects rely on the microbes to be metabolically active in the gut [3*]. The holistic ecological framework described here can aid in the interpretation of the effects of the currently used microbiome-modulating strategies, and further advance the field by providing a basis for the development of novel or improved approaches. An ecological perspective is therefore relevant for all aspects of designing a

microbiome-modulating strategy, from strain selection, industrialization (biotechnology), formulation, application and dosage, to their safety assessment and regulation [45].

Although most probiotic products are composed of allochthonous strains, the potential of using autochthonous members of the human microbiome to develop next-generation probiotics and bio-therapeutics is increasingly recognized [3*,4]. However, other factors that support biological invasions, such as genotypic diversity and adaptability of microbes, as well as their 'early fecundity and fertility' [12], have been hardly considered. The latter suggests that the approaches by which probiotic strains are maintained and produced (e.g. freeze drying) should be optimized so evolutionary 'trade-offs' in the organisms and lag phases in the gut are minimized. The importance of genetic diversity does not only provide an explanation for the success of FMTs, but suggests that probiotics should be rather applied as a consortium of strains if engraftment is the goal (Table 2). The central importance of resources opens up several opportunities to improve engraftment by pairing additive (probiotics, FMT), subtractive (antibiotics, bacteriophages), or modulatory (prebiotics) approaches [3*]. Finally, the importance of colonization history in invasion suggests that administration of microbes early in infancy or after subtractive approaches might enable long-term colonization, and could even change the trajectory of the assembly of the entire microbiome through priority effects and historical contingency, with longstanding effects [37–39].

An ecological perspective is further necessary for the exact prediction of the impact and consequences of strategies. The individualized nature of microbiomes make the response to modulations inherently subject-specific [19*,46]. Information on what drives this individuality can, once understood, be used to generate predictive models to personalize strategies. In addition, microbiome-modulating strategies constitute a challenge for regulatory agencies as they represent a novel paradigm in drug development [3*]. Stable alterations of the gut microbiome, and the genetic changes of the introduced organisms that are likely to occur during long-term colonization raise questions regarding the pharmacology, standardization, and control of such therapies. The full potential of microbiome-modulating strategies can only be realized if the regulatory framework considers their unique biological and ecological characteristics, which will require different avenues than the ones available for generic drugs or foods [45]. A dialog between regulators and researchers will be necessary to develop such frameworks, and these discussions will have to be informed by an understanding of the ecological effects of microbiomemodulating therapies.

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Highlights

- **•** Microbiome-modulation through live microbes has enormous potential to improve health
- **•** Recent studies have provided new insights into the impact of live microbes on gut microbiomes
- **•** Ecological theory can help reach a conceptual understanding on the impact of microbiome-modulating interventions
- **•** An ecological perspective will be essential to improve currently available strategies and develop novel ones

Figure 1.

Successful invasion of a microorganism conceptualized as a 4-stage process. (A) The microbe needs to be introduced in sufficient numbers and in an active form, and possess the traits to withstand the pressures of the gut environment. (B) Habitat filters will select for microbes that possess the traits necessary to overcome them, while the host specifically selects for symbionts by a variety of mechanisms (glycans, epithelial capture, etc.). (C) The microbe needs to compete with resident members to access resources to grow and persist in an ecological niche. (D) Successful occupation of niches may result in metabolic activities and/or competitive or synergistic interactions that impacts the resident community's composition and/or function. Adopted from Mallon et al. 2015 [13*].

Figure 2.

Ecological framework describing the characteristics, mechanisms and principles that influence colonization success of microorganisms used in microbiome-modulating strategies. (C) Characteristics of the potential colonists, dose, frequency of entry, activity, as well as the diversity of the propagule population increase the likelihood of colonization success. In addition, traits to overcome habitat filters, engage in symbiotic interactions with the host, and secure resources are essential for engraftment. (H) Host-related mechanisms select for microbes that possess traits to colonize the gut. Habitat filters such as bile acids, defensins, and immune responses select for organisms that possess the necessary adaptation. Host-derived glycans and the provision of adhesion sites can facilitate the establishment of microbes. (M) Microbiome-related mechanisms, mainly related to competition and microbemicrobe interactions define successful engraftment. All three components have to be compliant for engraftment to occur, and components of C, H, and M interact.

Table 1

Invasion ecology hypotheses according to Catford and colleagues [12] that encompass ecological concepts relevant for microbiome-modulating strategies based on live microbes.

Table 2

Current microbial-based strategies to modulate gut microbiomes and their ecological characteristics. Current microbial-based strategies to modulate gut microbiomes and their ecological characteristics.

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when the clinical effects are sustained.