

1 **Title:** Expanding Threat of Carbapenemase-Producing *Escherichia coli* and *Klebsiella*  
2 *pneumoniae* in Peru: Genomic and Phenotypic Evidence of High-Risk Clones  
3 Dissemination

4 **Running title:** NDM-Producing Enterobacterales in Peru

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## 25 ABSTRACT

26 Carbapenemase-producing *Enterobacterales* represent a growing global threat due to  
 27 their extensive antimicrobial resistance and rapid dissemination. This study  
 28 characterized the phenotypic and genomic features of *Escherichia coli* and *Klebsiella*  
 29 *pneumoniae* isolates collected between 2020 and 2022 from four healthcare institutions  
 30 in Lima, Peru. A total of 320 non-redundant isolates (61 *E. coli* and 259 *K. pneumoniae*)  
 31 were analyzed through antimicrobial susceptibility testing, polymerase chain reaction,  
 32 and whole-genome sequencing. The most frequent carbapenemase gene was *bla*<sub>NDM</sub>  
 33 (69%), followed by *bla*<sub>KPC</sub> (16.9%) and *bla*<sub>OXA-48-like</sub> (4.6%). Eleven *K. pneumoniae*  
 34 isolates co-produced NDM and KPC, and one *E. coli* isolate co-harbored NDM and OXA-  
 35 48-like. All isolates were multidrug resistant, and 5% were pandrug resistant. Novel  $\beta$ -  
 36 lactam/ $\beta$ -lactamase inhibitor combinations such as aztreonam/avibactam and  
 37 cefiderocol showed complete activity against all classes of carbapenemases. Genomic  
 38 analysis revealed predominant *E. coli* sequence types ST167 and ST410 and *K.*  
 39 *pneumoniae* lineages ST147, ST15, ST45, and ST273. The *bla*<sub>NDM-5</sub> allele was detected  
 40 for the first time in Peru, mostly in *E. coli* ST167, carried on multireplicon IncF-type  
 41 plasmids. In *K. pneumoniae*, ST147 was identified as a dominant clone associated with  
 42 *bla*<sub>NDM-1</sub>, indicating sustained local dissemination of high-risk clonal groups. The  
 43 coexistence of multiple carbapenemases and plasmid backbones highlights the ongoing  
 44 evolution of resistance mechanisms. These findings provide actionable evidence to  
 45 guide treatment strategies in settings with high prevalence of metallo- $\beta$ -lactamases and  
 46 underscores the need for continuous genomic surveillance and antimicrobial  
 47 stewardship to mitigate their clinical and epidemiological impact.

48 Keywords: whole-genome sequencing; NDM-5; KPC; OXA-48-like; carbapenemase-  
 49 producing *Enterobacterales*; Peru

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## 57 INTRODUCTION

58 The increasing prevalence and dissemination of carbapenemase-producing  
59 *Enterobacterales* (CPE) represent a major public health concern, as treatment options  
60 are severely limited and often involve high-cost antimicrobial agents (1). Consequently,  
61 the World Health Organization (WHO) has classified CPE among the highest-priority  
62 pathogens, emphasizing the urgent need to monitor their emergence and implement  
63 strategies to mitigate this growing global threat (1).

64 Carbapenemases play a fundamental role in carbapenem resistance, representing the  
65 main mechanism of resistance among *Enterobacterales*. These enzymes are classified  
66 into Ambler classes A, B, and D, with KPC, NDM, and OXA-48-like variants being the  
67 most prevalent worldwide (2). The increasing reports of carbapenemase-producing  
68 microorganisms have led to endemic dissemination across Latin America, particularly in  
69 countries such as Brazil, Colombia, Argentina, and Mexico, which account for the highest  
70 number of publications on this topic (3). In Peru, class A, B, and D carbapenemases  
71 have been identified; however, NDM remains by far the most frequently reported (4).

72 *Enterobacterales* such as *Escherichia coli* and *Klebsiella pneumoniae* are both common  
73 human pathogens and asymptomatic colonizers of the gastrointestinal tract and various  
74 environmental niches (5,6). *K. pneumoniae* and *E. coli* are responsible for a wide range  
75 of infections, including pneumonia, septicemia, and urinary tract infections, occurring in  
76 both community and healthcare settings (7). The widespread dissemination of CPE is  
77 largely driven by the horizontal transfer of antibiotic resistance genes through mobile  
78 genetic elements such as plasmids and transposons (8). Monitoring the global  
79 dissemination of these mobile elements and their association with carbapenemase  
80 genes in *E. coli* and *K. pneumoniae* clones remains a critical public health priority,  
81 essential for developing effective containment, management, and prevention strategies  
82 (9).

83 Despite the numerous reports of CPE in Peru over the past twelve years, comprehensive  
84 genomic data from longitudinal and multicenter studies remain lacking—data that are  
85 essential to contextualize local epidemiology within regional and global frameworks.  
86 Therefore, the aim of this study was to characterize the phenotypic and genomic features  
87 of *Escherichia coli* and *Klebsiella pneumoniae* clinical isolates producing  
88 carbapenemases, collected between 2020 and 2022 from four healthcare institutions in  
89 Lima, Peru.

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## 91 MATERIALS AND METHODS

### 92 Clinical isolates

93 Between 2020 and 2022, a total of 61 *E. coli* and 259 *K. pneumoniae* non-redundant,  
 94 unique suspected CPE isolates were selected based on the presence of an ertapenem  
 95 inhibition zone  $\leq 22$  mm. Clinical isolates were obtained from urine and blood samples  
 96 collected from both inpatients and outpatients and processed at the microbiology  
 97 laboratories of four healthcare institutions in Lima, Peru: Hospital de Emergencias Ate  
 98 Vitarte, Hospital Nacional Guillermo Almenara Irigoyen, Hospital Nacional Hipólito  
 99 Unanue, and Laboratorio Clínico ROE (Table 1). All isolates were subsequently sent to  
 100 the Universidad de Piura (UDEP) for phenotypic and genomic characterization.

101 Table 1. Distribution of clinical isolates by bacterial species, healthcare institution, and  
 102 sample type.

| Bacterial species    | Health institutions * |       |       |       |       |       |       |       |
|----------------------|-----------------------|-------|-------|-------|-------|-------|-------|-------|
|                      | HEA                   |       | HHU   |       | HGA   |       | ROE   |       |
|                      | Urine                 | Blood | Urine | Blood | Urine | Blood | Urine | Blood |
| <i>E. coli</i>       | 1                     | 0     | 1     | 0     | 20    | 0     | 39    | 0     |
| <i>K. pneumoniae</i> | 9                     | 3     | 35    | 14    | 64    | 54    | 78    | 2     |

103 \*Hospital de Emergencias Ate-Vitarte (HEA), Hospital Nacional Hipólito Unanue (HHU), Hospital  
 104 Nacional Guillermo Almenara Irigoyen (HGA), y Laboratorio Clínico Roe (ROE)

### 105 Carbapenemase screening and identification

106 The phenotypic screening of carbapenemase production was done with the Blue carba  
 107 Test as previously described (10). Inhibition assays using EDTA, phenylboronic acid,  
 108 and avibactam were performed to differentiate among Ambler classes of  
 109 carbapenemasas (11).

### 110 Antimicrobial susceptibility testing and molecular detection of carbapenemase 111 genes

112 Resistance phenotypes were determined using the disk diffusion method and interpreted  
 113 according to the clinical breakpoints established by the *Clinical and Laboratory*  
 114 *Standards Institute (CLSI) M100* guidelines (12). Colistin susceptibility was assessed by  
 115 the COL-spot test, as previously described (13). Intermediate resistance results were  
 116 interpreted and reported as resistant, and isolates were classified as multidrug-resistant  
 117 (MDR), extensively drug-resistant (XDR), or pandrug-resistant (PDR) according to the

118 criteria proposed by Magiorakos *et al.* (14). For *K. pneumoniae*, fosfomycin susceptibility  
119 was interpreted using the cutoff values established for *E. coli* in the CLSI M100 guideline  
120 (12).

121 The minimum inhibitory concentration (MIC) was determined in 100 selected isolates  
122 against aztreonam/avibactam, ceftazidime/avibactam (agar dilution), and cefiderocol  
123 (broth microdilution), following CLSI M100 recommendations (12). Isolate selection was  
124 based on carbapenemase type, maintaining proportional representation ( $bla_{KPC} = 30$ ,  
125  $bla_{NDM} = 30$ ,  $bla_{OXA-48-like} = 30$ ,  $bla_{NDM} + bla_{KPC} = 9$  y  $bla_{NDM} + bla_{OXA-48-like} = 1$ ).  
126 Carbapenemase genes were identified by polymerase chain reaction (PCR)  
127 amplification as previously described (15).

## 128 **Whole-Genome Sequencing (WGS)**

129 Isolates considered of greatest epidemiological or microbiological interest—particularly  
130 those harboring multiple resistance determinants—were selected for whole-genome  
131 sequencing (WGS). A total of 23 *E. coli* and 60 *K. pneumoniae* isolates underwent short-  
132 read sequencing using the Illumina NextSeq platform (paired-end, 2 × 250 bp).

133 From these, five *E. coli* and three *K. pneumoniae* isolates were additionally selected for  
134 long-read sequencing using the MinION platform (Oxford Nanopore Technologies, UK).  
135 Genomic libraries were prepared with the Nextera XT DNA Library Preparation Kit  
136 (Illumina, UK) for short reads and the Ligation Sequencing Kit with Library Loading Beads  
137 (Oxford Nanopore Technologies, UK) for long reads, following the manufacturer's  
138 protocols.

## 139 **Bioinformatics analysis**

140 Raw sequence reads were assessed for quality using FastQC v0.11.9 (16). Low-quality  
141 reads (Phred score < 30) and adapter sequences were trimmed using Trimmomatic  
142 v0.39 (17). *De novo* genome assemblies were generated with Unicycler v0.4.8 (18), and  
143 assembly quality was evaluated using QUAST v5.0.2 (19). Genome annotation was  
144 performed with Prokka v1.14.6 (20) and subsequently curated manually.

145 The resulting assemblies were analyzed using tools from the Center for Genomic  
146 Epidemiology (<http://www.genomicepidemiology.org/>) and other publicly available  
147 platforms. Specifically, multilocus sequence types (MLSTs) were identified using  
148 MLSTFinder, antimicrobial resistance genes with ResFinder, plasmid replicons with  
149 PlasmidFinder and pMLSTFinder, insertion sequences and transposons with ISFinder

150 (<https://isfinder.biotoul.fr/>), and virulence factors using Kleborate for *K. pneumoniae* and  
151 VirulenceFinder for *E. coli*.

152 Phylogenetic grouping of *E. coli* was determined with ClermonTyping  
153 (<http://clermonttyping.iame-research.center/>). Serotype prediction was conducted using  
154 SeroTypeFinder for flagellar (H) and lipopolysaccharide (O) loci in *E. coli*, and Kaptive  
155 for capsule (K) and lipopolysaccharide (O) loci in *K. pneumoniae*. Prophage regions were  
156 identified using PHASTER (<https://phaster.ca/>), and genomic context analyses were  
157 supported by Pathogenwatch (<https://pathogen.watch/>).

158 Single-nucleotide polymorphism (SNP)–based phylogenomic relationships were inferred  
159 using SNP-sites v2.5.1 to extract SNP positions, followed by maximum-likelihood tree  
160 construction with IQ-TREE v1.5.5.3, applying the best-fit substitution model and 1,000  
161 bootstrap replicates for node support. Tree was visualized with Microreact  
162 (<https://microreact.org>).

### 163 **Data Availability**

164 Whole genome sequencing data have been deposited in the NCBI Sequence Read  
165 Archive (SRA) under BioProject accession numbers PRJNA1427713 (*Klebsiella*  
166 *pneumoniae*) and PRJNA1265301 (*Escherichia coli*).

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## 168 RESULTS

### 169 Phenotypic screening and antimicrobial susceptibility profiles

170 Phenotypic screening for carbapenemase production identified 222 metallo- $\beta$ -lactamase  
171 (MBL) producers (*E. coli*, n = 41; *K. pneumoniae*, n = 181), 54 class A serine  
172 carbapenemase producers (*E. coli*, n = 1; *K. pneumoniae*, n = 53), and 33 class D serine  
173 carbapenemase producers (*E. coli*, n = 19; *K. pneumoniae*, n = 14). Notably, 12 isolates  
174 were positive for both serine and metallo-carbapenemase activity according to  
175 phenotypic assays.

176 The antimicrobial susceptibility profiles of the 61 *E. coli* isolates are summarized in Figure  
177 1. Carbapenem resistance was variable, with some isolates remaining susceptible—  
178 likely associated with the presence of class D OXA-48-like enzymes, which often confer  
179 lower levels of resistance. High resistance rates were observed for ciprofloxacin (61/61,  
180 100%), trimethoprim/sulfamethoxazole (51/61, 83.6%), amikacin (46/61, 75.4%), and  
181 ceftazidime/avibactam (41/61, 67.2%), alongside widespread resistance to  
182 cephalosporins and monobactams. Conversely, lower resistance rates were recorded  
183 for fosfomycin (4/61, 6.5%) and colistin (5/61, 8.2%).

184 Regarding the antibiotic susceptibility profile of the 259 *Klebsiella pneumoniae* isolates  
185 (Figure 2), in addition to widespread resistance to carbapenems, nearly all isolates were  
186 resistant to cephalosporins, monobactams, and fluoroquinolones. High resistance rates  
187 were also observed for trimethoprim/sulfamethoxazole (212/259, 81.9%), gentamicin  
188 (231/259, 89.2%), amikacin (170/259, 65.6%), and ceftazidime/avibactam (192/259,  
189 74.1%). Conversely, lower resistance levels were detected for fosfomycin (38/259,  
190 14.7%) and colistin (76/259, 29.3%).

191 It is noteworthy that only serine carbapenemase-producing isolates remained  
192 susceptible to ceftazidime/avibactam, whereas—as expected—isolates producing  
193 exclusively metallo- $\beta$ -lactamases (MBLs) or OXA-48-like enzymes, which lacked  
194 extended-spectrum  $\beta$ -lactamases (ESBLs), retained susceptibility to aztreonam and  
195 third-generation cephalosporins, respectively.

196 A total of 17 isolates (1 *E. coli* and 16 *K. pneumoniae*) were resistant to all antimicrobials  
197 tested and were thus classified as pandrug-resistant (PDR). One hundred one isolates  
198 (10 *E. coli* and 91 *K. pneumoniae*) were categorized as extensively drug-resistant (XDR),  
199 while the remaining carbapenemase-producing *Enterobacterales* were classified as  
200 multidrug-resistant (MDR) according to international criteria.

## 201 Minimum Inhibitory Concentration (MIC) for selected $\beta$ -lactams

202 The MIC results for cefiderocol, ceftazidime/avibactam, and aztreonam/avibactam  
203 among the 100 selected isolates are summarized in Table 2. Notably, all isolates were  
204 susceptible to aztreonam/avibactam and cefiderocol, with no resistance detected. In  
205 contrast, 40% of the isolates exhibited resistance to ceftazidime/avibactam, a finding that  
206 correlated with the presence of the *bla*<sub>NDM</sub> gene..

207 Table 2. Susceptibility profile of selected isolates of *E. coli* and *K. pneumoniae* against  
208 new  $\beta$ -lactams antimicrobials.

| <b>Carbapenemase Class</b> | <b>Number of Isolates (%)</b> | <b>Ceftazidime/Avibactam (%)</b> | <b>Aztreonam/Avibactam (%)</b> | <b>Cefiderocol (%)</b> |
|----------------------------|-------------------------------|----------------------------------|--------------------------------|------------------------|
| <i>Total</i>               | 91 (100)                      | 59.3                             | 100                            | 100                    |
| <i>A</i>                   | 28 (31)                       | 100                              | 100                            | 100                    |
| <i>B</i>                   | 27 (30)                       | 0                                | 100                            | 100                    |
| <i>D</i>                   | 26 (28)                       | 100                              | 100                            | 100                    |
| <i>A + B</i>               | 9 (10)                        | 0                                | 100                            | 100                    |
| <i>B + D</i>               | 1 (1)                         | 0                                | 100                            | 100                    |

209 \* The outcome could not be determined in 9 isolates.

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## 211 Genetic markers of carbapenem resistance

212 Detection of carbapenemase-encoding genes by PCR allowed the recognition of 69.0%  
213 isolates carrying *bla*<sub>NDM</sub>, (40 *E. coli* and 181 *K. pneumoniae*), 16.9% isolates carrying  
214 *bla*<sub>KPC</sub> (1 *E. coli* and 53 *K. pneumoniae*) and 4.6% isolates carrying *bla*<sub>OXA-48-like</sub> (19 *E. coli*  
215 and 14 *K. pneumoniae*). Furthermore, 11/320 (3.4%) *K. pneumoniae* isolates tested  
216 positive for *bla*<sub>NDM</sub> and *bla*<sub>KPC</sub> genes and one *E. coli* isolate was co-carrying *bla*<sub>NDM</sub> and  
217 *bla*<sub>OXA-48-like</sub>, corresponding with the phenotypic results, excepting for the isolate of *E. coli*  
218 which was phenotypically detected only as MBL (Table 3).

219 Table 3. Distribution of carbapenemase genes among *Escherichia coli* and *Klebsiella*  
220 *pneumoniae* clinical isolates.

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|                      | <b><i>bla</i><sub>KPC</sub></b> | <b><i>bla</i><sub>NDM</sub></b> | <b><i>bla</i><sub>OXA-48-like</sub></b> | <b><i>bla</i><sub>NDM</sub> + <i>bla</i><sub>KPC</sub></b> | <b><i>bla</i><sub>NDM</sub> + <i>bla</i><sub>OXA-48-like</sub></b> | <b><i>Total</i></b> |
|----------------------|---------------------------------|---------------------------------|-----------------------------------------|------------------------------------------------------------|--------------------------------------------------------------------|---------------------|
| <i>E. coli</i>       | 1                               | 40                              | 19                                      | 0                                                          | 1                                                                  | 61                  |
| <i>K. pneumoniae</i> | 53                              | 181                             | 14                                      | 11                                                         | 0                                                                  | 259                 |

|              |               |                |               |              |             |                  |
|--------------|---------------|----------------|---------------|--------------|-------------|------------------|
| <i>Total</i> | 54<br>(16.9%) | 221<br>(69.1%) | 33<br>(10.3%) | 11<br>(3.4%) | 1<br>(0.3%) | 320<br>(100.0 %) |
|--------------|---------------|----------------|---------------|--------------|-------------|------------------|

**Analysis of Whole Genome Sequencing**

WGS identified that *E. coli* (n=23) isolates harbored an average of 12 antimicrobial resistance (AMR) genes (SD = 4.4). The genes *bla*<sub>OXA-1</sub>, *aac*(6')-*lb-cr*, *sul-1*, *sul-2*, and *catB3* were present in over 78% of *E. coli* isolates. The genes responsible for AMR among CPE isolates are shown in Figure 3. Regarding the genes encoding carbapenemases, two allelic variants of *bla*<sub>NDM</sub> were detected: *bla*<sub>NDM-5</sub> (10/23, 43.5%) and *bla*<sub>NDM-1</sub> (8/23, 39.1%); *bla*<sub>OXA-48</sub> (4/23, 17.3%) was also detected. One (4.3%) isolate tested positive for *bla*<sub>NDM-1</sub> and *bla*<sub>OXA-48</sub> genes.

WGS was performed on 60 *K. pneumoniae* isolates, which harbored an average of 13 (SD = 2.8) AMR genes. The *bla*<sub>OXA-1</sub> (57/60, 95%), *aac*(6')-*lb-cr* (56/60, 93.3%) and *sul-1* (56/60, 93.3%) genes were detected in nearly all isolates. Several AMR genes responsible for resistance to non-carbapenem  $\beta$ -lactams, including AmpC  $\beta$ -lactamases, extended-spectrum  $\beta$ -lactamases (ESBLs), aminoglycosides, fluoroquinolones, and other antimicrobial classes, were also detected among CPE isolates and are shown in Figure 4. Regarding carbapenemase-encoding genes, *bla*<sub>NDM-1</sub> (53/60, 88.3%) was detected in almost all isolates, whereas *bla*<sub>KPC-2</sub> (15/60, 25%) and *bla*<sub>OXA-181</sub> (1/60, 1.6%) also were detected. Nine (15%) isolates tested positive for both *bla*<sub>NDM-1</sub> and *bla*<sub>KPC-2</sub> genes.

**Bacterial population structure and linkage to specific carbapenemase alleles**

Six diverse genetic backgrounds were identified among the *E. coli* isolates (n = 23). The most frequent sequence types were ST167 (n = 11), ST410 (n=7) and ST131 (n = 2), each represented by more than one isolate. All eleven ST167 isolates carried *bla*<sub>NDM</sub>, specifically *bla*<sub>NDM-5</sub> (n = 9) and *bla*<sub>NDM-1</sub> (n = 2). Among the seven ST410 strains, four harbored *bla*<sub>OXA-48</sub>, two *bla*<sub>NDM-1</sub> and one co-harbored both *bla*<sub>OXA-48</sub> and *bla*<sub>NDM-1</sub>. Both ST131 isolates carried *bla*<sub>NDM-1</sub>. The remaining isolates exhibited greater genetic diversity, carrying different *bla*<sub>NDM</sub> variants: *bla*<sub>NDM-1</sub> was identified in ST617 and ST4628 and *bla*<sub>NDM-5</sub> was present in ST405. Phylogenetic analysis revealed a close genetic relationship among ST167 isolates, with a divergence of 6 to 21 SNPs, while ST410 isolates exhibited a divergence of only 2 to 3 SNPs.

MLST showed that *K. pneumoniae* was dominated by NDM-producing clonal group (CG) 147, more specifically ST147 (n = 12) and its single locus variants ST273 (n = 7). The CG147 cluster comprised 19 isolates, all NDM-producers, and one of the ST147 isolates

was a co-producer of NDM and KPC. Among the *K. pneumoniae* isolates MLST identified other clusters represented by more than one isolate: one representing CG15 and including ST15 (n=9) and ST709 (n=1), all *bla*<sub>NDM-1</sub>-harboring; other representing CG45 and including ST45 (n=7) with co-harboring *bla*<sub>NDM-1</sub> and *bla*<sub>KPC-2</sub> (n = 6) and one only with *bla*<sub>NDM-1</sub>; other representing CG258 and including ST258 with *bla*<sub>KPC-2</sub> (n = 2) and ST11 with *bla*<sub>KPC-2</sub> (n=1) and *bla*<sub>NDM-1</sub> (n = 1); other representing CG13 and including ST13 with *bla*<sub>NDM-1</sub> (n = 4); other representing CG629 and including ST629 with *bla*<sub>KPC-2</sub> (n=2) and *bla*<sub>NDM-1</sub> (n = 1); other representing ST1876 (n=3) with co-harboring *bla*<sub>NDM-1</sub> and *bla*<sub>KPC-2</sub> (n = 1) and with *bla*<sub>NDM-1</sub> (n=2); and other representing CG107 and including ST219 (n=2) with *bla*<sub>NDM-1</sub>. The remaining *K. pneumoniae* isolates represented genetically diverse single strains harboring *bla*<sub>NDM-1</sub> (ST23, ST37, ST116, 1271 and ST4074), *bla*<sub>NDM-1</sub> + *bla*<sub>KPC-2</sub> (ST1774), *bla*<sub>KPC-2</sub> (ST462), and *bla*<sub>OXA-181</sub> (ST25). Among the most frequent STs, we observed that most *K. pneumoniae* ST147 genomes diverged by 12 to 104 SNPs. However, two isolates were more distant, with 500–2831 SNPs. ST15 isolates diverged by 12 to 45 SNPs, although three isolates were more distant, with 842–1704 SNPs. ST45 isolates diverged by 11–427 SNPs, and most ST273 isolates diverged by 2–20 SNPs. However, one isolate showed a distance greater than 2800 SNPs.

## Replicon Typing

PlasmidFinder showed that in *E. coli* isolates the most frequent replicon were IncFII, IncFIA, and IncFIB, representing 87% each, followed by IncC with 39.1%, Col(pHAD28) with 26% (related to the *qnrB19* gene, which generates low-level quinolone resistance) and IncY with 17.4%. Other replicons were also detected. However, it was in a proportion less than 15%, such as P0111, IncFIB/HI1B, IncI-1, Col (BS512), IncX1, IncX4, IncFIC, and IncR. Virtually all isolates (n = 22/23; 95.6%) presented a multireplicon state, with three or more different Inc groups.

Regarding STs and carbapenemase-related replicons, we observed that ST167 (n=11) was associated mostly with hybrid plasmid IncFIA/FIB/FII *bla*<sub>NDM-5</sub>-harboring (n=9), and other two associated with IncFIB/HI1B and IncC2 *bla*<sub>NDM-1</sub>-harboring; three ST410 isolates was associated with IncC2 *bla*<sub>NDM-1</sub>-harboring. Highlight, that *bla*<sub>OXA-48</sub> was not located on a plasmid but on the chromosome of ST410 isolates.

Nineteen diverse Inc groups were identified in *K. pneumoniae*, IncFIB/HI1B and IncFIB(K) were the most common Inc group with 75% each, followed by IncFII(K), IncC2, colRNAI, col(pHAD28), IncFII, IncFIB and IncU/IncX3 found in 48.3%, 31.7%, 23.3%, 21.7%, 20.0%, 18.3%, and 16.7% of isolates, respectively. Other replicons were also

290 detected. However, it was in a proportion less than 15%, such as IncFIA, col4401, IncM,  
291 IncN, IncX, IncR, IncX3, and IncHI2. The majority of isolates (n = 54/60; 90%) were  
292 characterized by a multireplicon status carrying three or more different Inc groups.

293 Regarding STs and carbapenemase-related replicons, we observed that ST147 (n = 12)  
294 *bla*<sub>NDM-1</sub>-harboring, were associated with IncFIB/HI1B, and one of them (co-producing  
295 carbapenemases KPC and NDM) also was associate with IncU/IncX3; ST15 *bla*<sub>NDM-1</sub>-  
296 harboring was associated mostly with IncFIB/HI1B (n = 8) and with IncC2 (n = 1); ST273  
297 *bla*<sub>NDM-1</sub>-harboring was associated with IncFIB/HI1B. Finally, ST45 *bla*<sub>NDM-1</sub> and *bla*<sub>KPC-2</sub>-  
298 harboring was associated mostly with IncFIB/HI1B and IncU/IncX3, respectively (n = 6)  
299 and one isolate that only *bla*<sub>NDM-1</sub>-harboring was associated with IncC2.

### 300 **Serotype and Phylogenetic group of *Escherichia coli***

301 The lipopolysaccharide (O) and flagellar (H) surface antigens of *E. coli* are targets for  
302 serotyping that have traditionally been used to identify pathogenic lineages. These  
303 surface antigens are important for the survival of *E. coli*. Other strategy is phylogroup  
304 classification, allowing the identification of seven phylogroups designated as A, B1, B2  
305 C, D, E, and F. The use of phylogroup classification has been employed in the study of  
306 ecological niches and lifestyles in bacterial pathogens. Eleven ST167 isolates showed a  
307 O101:H10 (10) serotype and O101:H4 (1) serotypes, only one O101:H10 serotype  
308 presented the fimbria variant fimH54, the others were negative, all belonged to  
309 phylogroup A. The ST410 belonged to the O8:H21 serotype with fimH24 and phylogroup  
310 C, the ST131 belonged to the O25:H4 with fimH30 and phylogroup B2, the ST405  
311 belonged to O102:H6 with fimH27 and phylogroup D, the ST617 belonged to H9 within  
312 fimH and phylogroup A, and the ST4628 belonged to H11 within fimH and phylogroup A.

### 313 **K and O loci of *Klebsiella pneumoniae***

314 The K-Locus capsular polysaccharide (CPS) and the O-Locus lipopolysaccharide (LPS)  
315 are important determinants of virulence and bacterial interaction with the immune  
316 system. We identified 21 different K loci and 8 O loci, and these K/O loci provided 32  
317 different combinations in our *K. pneumoniae* isolates. KL64 (21.6%), KL74 (11.6%),  
318 KL62 (11.6%), and KL48 (10%) were the most prevalent K loci. Among the predominant  
319 STs, we observed the following K+O loci: KL64+O1/O2v1 (21.6%, 13/60) associated with  
320 ST147 (n = 11) and ST15 (n = 2); KL74+OL104 (11.6%, 7/60) associated with ST243;  
321 KL62+O1/O2v1 (11.6%, 7/60) associated with ST45; and KL48+O1/O2v2 (6.6%, 4/60)  
322 associated with ST15.

323

## 324 Virulence factors

325 All *E. coli* isolates presented virulence genes, harboring an average of 17 (SD = 7)  
326 virulence genes. A total of 53 virulence genes were identified. The following genes were  
327 found in 80% of the isolates: the fimbrial genes *yehA/C/D* (responsible for adhesion to  
328 some abiotic surfaces), *terC* (a tellurium ion resistance protein), *fdeC* and *csgA*  
329 (adhesins), *hha* (which modulates the expression of biofilm formation), and *hlyE*  
330 (hemolysin). In addition, we identified other important virulence genes, including *fimH*,  
331 associated with type 1 fimbriae, in all ST410 and ST131 isolates, and one ST167 isolate;  
332 *iucC*, related to aerobactin synthetase, *iutA*, encoding the aerobactin ferric receptor, and  
333 *sitA*, associated with iron acquisition, in all isolates of ST410 and ST131, in one ST167  
334 and another ST617. Highlight, that the two ST131 isolates presented more than 30  
335 virulence genes.

336 In addition to the capsular polysaccharide (K antigen) and LPS (O antigen) biosynthesis  
337 loci, a set of virulence factors was described, which were present in 45% (27/60) of *K.*  
338 *pneumoniae* isolates.

339 The most prevalent virulence factor was the yersiniabactin gene cluster (85.2%; 24/27).  
340 The majority of yersiniabactin-positive (*ybt*<sup>+</sup>) isolates, 59.3% (16/27), were spread via  
341 ICEKp4 related to *ybt1*- lineage, corresponding mostly to ST45 (n=7) and ST15 (n=6)  
342 isolates. Second, 14.8% (4/27) *ybt*<sup>+</sup> isolates revealed an ICEKp3 (*ybt* lineage 9),  
343 associated mostly with ST11 isolates (n=2). We also identified 7.4% (2/27) of  
344 unassigned *ybt* lineage (*ybt0*), associated with ST13 isolates. In addition, we found  
345 aerobactin *iuc5* associated with ST147 (n=4). Highlight, the presence of an isolate  
346 belonging to ST23, which usually possess several virulence factors, this showed  
347 ICEKp1- related to *ybt1* lineage, colibactin *clb2*, aerobactin *iuc1*, salmochelin *iro1* and  
348 genes upregulators of capsule expression *rmp1/A2*.

## 349 Genetic context of carbapenemase genes

350 We analyzed the genetic environment of the sequenced and assembled isolates by  
351 hybrid assembly.

352 *bla*<sub>NDM-1</sub> in plasmid IncFIB/IncHI1B.- The plasmid pKp319ndm *bla*<sub>NDM-1</sub>-harboring, was  
353 located in very large IncFIB/IncHI1B hybrid plasmid, which size was ~359.7 kb. A common  
354 genetic environment around *bla*<sub>NDM-1</sub> (IRR of IS*Aba125*-*bla*<sub>NDM-1</sub>-*ble*<sub>MBL</sub>-*trpF*-*dsbC*-*dct*-  
355 *groES*) was identified; this region seems to be flanked by two ISKox2-like insertion  
356 sequences. In addition, other rearrangements of resistance determinants and mobile  
357 elements were described downstream [*Tn2*-like-*bla*<sub>TEM-26</sub>-*aac(3)*-*lfe*-ISK*pn11*-ISK*pn12*-

358 *IS1R-qnrE2-ISEcp1*] and upstream [*IS1R-catA1-Tn3-like-IS26-int11-aac(6')-lb-cr-bla<sub>OXA-1</sub>-catB3-arr-3-qacE-sul1-IS1326*] of the previous genetic environment.

360 *bla<sub>NDM-1</sub>* in plasmid IncC2.- The plasmid pEc306ndm belonged to IncC type 2  
361 incompatibility group. It has a size of ~203.2 kb. The *bla<sub>NDM-1</sub>* gene is flanked upstream  
362 by an IRR of *ISAbA125* and downstream by the bleomycin resistance gene *ble<sub>MBL</sub>*,  
363 forming, together with *trpF-dsbC-dct-ΔgroES*, a common genetic environment around  
364 *bla<sub>NDM-1</sub>*, (IRR of *ISAbA125-bla<sub>NDM-1</sub>-ble<sub>MBL</sub>-trpF-dsbC-dct-groES*) that is similar to that  
365 described previously. Furthermore, it was observed; upstream, a zone delimited by two  
366 copies of *ISKox2*-like elements carrying the *bla<sub>PER-2</sub>* gene previously described  
367 environment around this gene (*ISPa12- bla<sub>PER-2</sub>-gst-like-abct*), followed by a region  
368 where a class 1 integron [*aac(6')-lb-cr-bla<sub>OXA-1</sub>-catB3-arr-3-sul1*] was present. Finally,  
369 downstream, the *mer* operon (*merRTPCA*) was present, which confers resistance to  
370 mercury compounds through the expression of the MerA protein.

371 *bla<sub>NDM-5</sub>* in plasmid IncFIA/IncFIB/IncFII.- The *bla<sub>NDM-5</sub>* gene, from a hybrid genomic  
372 assembly, was identified in a mosaic plasmid (pEc231ndm), which presented a size of  
373 ~140.3 kb, with three origins of replication (IncFIA/IncFIB/IncFII). The *bla<sub>NDM-5</sub>* gene is  
374 flanked upstream by an IRR of *ISAbA125* and downstream by the bleomycin resistance  
375 gene *ble<sub>MBL</sub>*, forming, together with *trpF-dsbC*, a common genetic environment, that is  
376 similar to that described previously to *bla<sub>NDM-1</sub>* (IRR of *ISAbA125- bla<sub>NDM-5</sub>-ble<sub>MBL</sub>-trpF-*  
377 *dsbD*). Furthermore, it was observed; upstream, a class 1 integron (*dfrA12-aadA2-qacC-*  
378 *sul1*). Finally, downstream, a zone delimited by two copies of *IS26*-like elements carrying  
379 *bla<sub>CTX-M-15</sub>-catB3-bla<sub>OXA-1</sub>-aac(6')-lb-cr* genes.

380 *bla<sub>KPC-2</sub>* in plasmid IncX3/IncU.- The plasmid pKp319kpc *bla<sub>KPC-2</sub>*-harboring, was located  
381 in IncX3/IncU hybrid plasmid, which size was ~46.6 kb. The genetic context of *bla<sub>KPC-2</sub>*  
382 gene was harbored by a non-Tn4401 element (NTE<sub>KPC</sub>) classified as NTE<sub>KPC-1c</sub>,  
383 presenting a partial *ISKpn6* with the associated left inverted repeat and a Tn3 resolvase  
384 gene (*tnpR*) downstream and upstream, respectively, of *bla<sub>KPC-2</sub>*.

385 *bla<sub>OXA-48</sub>* in chromosome.- From the hybrid assembly in EC347, it was located that the  
386 *bla<sub>OXA-48</sub>* gene was fragment was located in the chromosome, flanked by two copies of  
387 *IS1R*. Furthermore, it was observed; upstream, a copper resistance determinant, which  
388 contains six genes, *copABCDRS*, arranged in two operons, *copABCD* and *copRS*; and  
389 downstream, a *NikABCDE* system, belongs to the ABC transporter family, composed of  
390 the periplasmic binding protein NikA, two integral membrane components (NikB and -C),  
391 and two ATPases (NikD and -E).

392

## 393 DISCUSSION

394 This study aimed to evaluate the epidemiology of carbapenemase-producing  
395 *Escherichia coli* and *Klebsiella pneumoniae* recovered over a three-year period (2020–  
396 2022) from four healthcare institutions in Lima, Peru, revealing the emergence and  
397 multiclonal dissemination of these pathogens. The spread of CPE is now widely  
398 established across Latin America and is frequently associated with the co-occurrence of  
399 resistance mechanisms to multiple antimicrobial classes, which significantly complicates  
400 clinical management of infections (21).

401 All carbapenemase-producing isolates in this study displayed a MDR phenotype,  
402 underscoring the potential limitations in available therapeutic options and highlighting the  
403 urgent need for a coordinated global response to address this emerging threat. Among  
404 the agents tested, ciprofloxacin, trimethoprim/sulfamethoxazole, and amikacin exhibited  
405 the lowest activity, with resistance rates exceeding 75%, and reaching 100% for  
406 ciprofloxacin. These findings confirm the limited empirical utility of fluoroquinolones and  
407 trimethoprim/sulfamethoxazole for the management of urinary tract infections caused by  
408 CPE, in line with the Infectious Diseases Society of America (IDSA) recommendations,  
409 which advise against the empirical use of these agents in settings where local resistance  
410 rates surpass 20% (22).

411 Drugs commonly employed in combination therapies for CPE infections showed variable  
412 activity against contemporary isolates. In our cohort, fosfomycin exhibited low resistance  
413 rates (<15%; 14.3% in *K. pneumoniae* and 6.6% in *E. coli*), comparable to data reported  
414 from Argentina (11.4%) (23), Mexico (10.9%), and China (10%) (24, 25). However, these  
415 results contrast with previous reports from Peruvian hospitals, where fosfomycin  
416 resistance reached 27.8% (26), and with studies from Southeast Asia and North Africa  
417 documenting prevalence up to 36.4% in Vietnam and 38.5% in Egypt (27, 28).

418 Regarding colistin, resistance rates reached 29.3% in *K. pneumoniae* and 8.2% in *E.*  
419 *coli*. Although colistin remains a last-resort option, its efficacy has been increasingly  
420 compromised by the rising prevalence of resistant strains across Latin America (29). A  
421 recent multicenter study in Peru analyzing 317 clinical isolates from 12 regions reported  
422 lower colistin resistance rates—7.5% in *E. coli* and 11.9% in *K. pneumoniae* (30)—values  
423 below those observed in the present study. This difference may be explained by our  
424 focus on carbapenemase-producing isolates, which have been reported to exhibit colistin  
425 resistance rates as high as 31% (31).

426 Given the limited therapeutic options available for severe infections caused by CPE,  
427 combination regimens including colistin and fosfomycin may provide valuable  
428 alternatives against these multidrug-resistant clinical isolates (32).

429 The high rate of amikacin resistance observed in this study is particularly concerning,  
430 given that this aminoglycoside has traditionally been used in Peru as a reserve agent  
431 against multidrug-resistant (MDR) Gram-negative bacilli and as an alternative  
432 therapeutic option in settings where access to newer antimicrobial agents remains  
433 limited. In *E. coli*, resistance to amikacin was higher than to gentamicin (75.4% vs  
434 47.5%), whereas in *K. pneumoniae*, the opposite pattern was observed, with gentamicin  
435 showing higher resistance than amikacin (89.2% vs 65.6%). This discrepancy may reflect  
436 the presence of distinct aminoglycoside resistance genes conferring selective resistance  
437 to each compound (32).

438 Recent studies recommend the primary use of novel  $\beta$ -lactam/ $\beta$ -lactamase inhibitor  
439 combinations such as ceftazidime/avibactam (CZA) for infections caused by serine  
440 carbapenemase producers, and aztreonam/avibactam (AZA) or cefiderocol for those  
441 mediated by metallo- $\beta$ -lactamases (MBLs) (32). In agreement with these  
442 recommendations, our study demonstrated complete susceptibility (100%) to CZA  
443 among serine carbapenemase producers, consistent with data from recent global  
444 surveillance programs that included isolates from Latin America (33, 34). However,  
445 although no resistance to CZA was detected among serine carbapenemase producers  
446 in our collection, reports from Peru have described CZA-resistant *Klebsiella pneumoniae*  
447 associated with KPC variants such as KPC-35, highlighting the potential for emerging  
448 resistance even within this group (101).

449 Aztreonam/avibactam exhibited the broadest activity spectrum, showing full activity  
450 against all carbapenemase classes and combinations thereof. These findings are  
451 consistent with prior studies demonstrating 100% susceptibility of AZA against MBL,  
452 serine carbapenemase, and co-producing isolates (35, 36, 37). Such results underscore  
453 the therapeutic potential of AZA as a key agent for managing MDR infections, particularly  
454 those mediated by MBL-producing *Enterobacterales* (38). This is especially relevant in  
455 Peru, where NDM-type carbapenemases remain the most prevalent (4).

456 Cefiderocol represents a valuable second-line option against NDM and other MBL-  
457 producing *Enterobacterales*, with evidence supporting high clinical efficacy (39). In our  
458 study, all isolates—including co-producers—remained susceptible to cefiderocol (100%).  
459 Nevertheless, further research is warranted, as a recent meta-analysis identified multiple

460  $\beta$ -lactamases and resistance determinants associated with increased cefiderocol MICs,  
461 particularly among NDM-producing strains (40).

462 This study confirms that NDM-type MBLs remain the most prevalent carbapenemases in  
463 Peru, surpassing KPC variants (4). These findings position Peru among the countries  
464 where NDM represents the dominant carbapenemase, in line with global trends reporting  
465 its dissemination across all continents (41, 42).

466 In contrast, this pattern is not universal. Surveillance reports from Europe, Latin America,  
467 and the Caribbean indicate that KPC-type carbapenemases remain the most widespread  
468 among *Enterobacterales* in those regions, having reached endemic levels in several  
469 countries (41, 43, 44).

470 Historically, *K. pneumoniae* has been the main reservoir for carbapenemases, as  
471 reflected in this study (21). However, *E. coli* has shown a progressive increase in the  
472 dissemination of carbapenemase genes, particularly since 2015 (43). This observation  
473 mirrors the global trend of expanding MBL-type enzymes into species already associated  
474 with carbapenemase propagation (21, 43).

475 A distinctive feature of our region—also evident in this study—is the low prevalence of  
476 OXA-48-like carbapenemases (41). In our cohort, OXA-48-like enzymes accounted for  
477 4.6% of isolates, showing only a modest increase compared with previous surveillance  
478 periods (4), ranking as the third most frequent carbapenemase detected among  
479 *Enterobacterales* in Peru. Interestingly, within *E. coli*, OXA-48-like was the second most  
480 common enzyme (31.1% in *E. coli* vs. 5.4% in *K. pneumoniae*).

481 An additional emerging concern is the increasing detection of co-producing  
482 carbapenemase isolates since the onset of the COVID-19 pandemic. *E. coli*, previously  
483 regarded as an occasional reservoir, has begun to harbor multiple carbapenemase  
484 genes more frequently (21). Our findings confirm the persistent circulation of *K.*  
485 *pneumoniae* co-producing KPC and NDM (3.1%) after the first sporadic case reported in  
486 2016 (45), with a notable rise during the pandemic period (46). Moreover, the first *E. coli*  
487 isolate co-harboring *bla*<sub>NDM</sub> and *bla*<sub>OXA-48-like</sub> was reported in 2021, followed by  
488 subsequent detections with similar genetic configurations (47).

489 A recent review suggests that the emergence of multi-carbapenemase producers may  
490 be linked to the accumulation of non- $\beta$ -lactam resistance mechanisms, likely driven by  
491 selective pressure from other antimicrobial classes (48).

Whole-genome sequencing (WGS) enabled the characterization of the allelic variants of carbapenemase genes previously identified by PCR. The most frequent variant detected was *bla*<sub>NDM-1</sub> consistent with multiple reports from Peru (49, 50, 51). The *bla*<sub>KPC-2</sub> variant, also previously documented in the country (52), and *bla*<sub>OXA-48</sub>, first reported in Peru in 2022 (53), were likewise identified. These variants represent the most commonly reported carbapenemase alleles across Latin America (41, 43).

Notably, *bla*<sub>OXA-181</sub> was also detected—this variant has been recently reported in Peru among *K. pneumoniae*, *E. coli*, and *Citrobacter* spp. isolates (54), suggesting that its presence in the country is not sporadic but rather indicative of ongoing local dissemination. Additionally, *bla*<sub>NDM-5</sub> was identified; this allele has been described in Argentina, Uruguay, Brazil, Mexico, United States, Europe and Middle east (55, 56, 57, 58, 59, 60, 61, 62). To our knowledge, this represents the first report of *bla*<sub>NDM-5</sub> in Peru. Furthermore, co-producing isolates harboring *bla*<sub>KPC-2</sub> + *bla*<sub>NDM-1</sub> and *bla*<sub>NDM-1</sub> + *bla*<sub>OXA-48</sub> were detected, a phenomenon considered a global public health emergency (48).

Bioinformatic analysis of WGS data provided additional genomic insights into *E. coli* and *K. pneumoniae* isolates. MLST revealed two predominant *E. coli* clones: ST410 and ST167, which together accounted for 78.3% of sequenced *E. coli* isolates. *E. coli* ST410, belonging to clonal complex CC10, has been increasingly associated with the global spread of *bla*<sub>OXA-181</sub> (48) and is now recognized as one of the most prevalent carbapenem-resistant *E. coli* (CRE) lineages worldwide, with presence across all five continents (63). In this study, the fimH24 variant of *E. coli* ST410 was the second most frequent sequence type (30%, 7/23), strongly associated with chromosomally located *bla*<sub>OXA-48</sub>. This finding is clinically relevant, as the presence of a single chromosomal copy of *bla*<sub>OXA-48</sub> may hinder detection by standard phenotypic methods, posing an additional diagnostic challenge for clinical laboratories.

Regarding *E. coli* ST167, this lineage is among the most globally distributed and has shown increasing occurrence in Latin America. It is frequently associated with *bla*<sub>NDM-5</sub>, typically carried on IncF plasmids (63). In our study, ST167 was the predominant lineage among *E. coli*-CRE isolates (48%, 11/23), linked to the O101:H10 serotype and *bla*<sub>NDM-5</sub> carriage. However, unlike previous reports, our isolates lacked the fimH54 allele, previously proposed as a conserved feature in this lineage conferring enhanced colonization and evolutionary advantages (64). This pattern supports the local spread of a closely related clonal group (6–21 SNPs apart) across several healthcare institutions in Peru.

526 Among *K. pneumoniae*, four major STs were identified—ST147, ST273, ST15, and  
527 ST45—representing 58.3% of sequenced isolates. Multidrug-resistant *K. pneumoniae* is  
528 recognized as a critical global health threat (1) and its rapid dissemination is largely  
529 attributed to the geographic expansion of successful clonal groups (CGs) such as CG15,  
530 CG101, CG147, CG258, and CG307 (65, 66). *K. pneumoniae* ST147 has been identified  
531 as a globally distributed high-risk clone (67), closely related to ST273 and ST392, all of  
532 which belong to CG147 (68, 69). These clones commonly harbor fluoroquinolone-  
533 resistance mutations (*gyrA* S83I, *parC* S80I).

534 In our isolates, ST147 carried capsular loci KL64 (except one with KL20), while ST273  
535 carried KL74. Historically, CG147 (primarily ST147) has been associated with multiple  
536 carbapenemase types since its emergence in the early 1990s, with ST273 first reported  
537 in 1995 (67, 70). Between 2010 and 2014, CG147 clones were reported globally in  
538 association with KPC, NDM, and OXA-48-like enzymes (71). In Peru, ST147 has been  
539 repeatedly identified and is emerging as a dominant clone responsible for  
540 carbapenemase dissemination in the country (72, 73, 74, 75).

541 *K. pneumoniae* ST15 is an emerging high-risk clone frequently implicated in hospital  
542 outbreaks (76). ST15 has been reported with multiple carbapenemases—including OXA-  
543 232, KPC-2, and NDM—in various settings (77) and has also been documented in Peru  
544 carrying NDM (78). In our series, ST15 isolates harbored QRDR mutations (*gyrA*  
545 S83I/D87A; *parC* S80I), the predominant capsular locus KL48, and the *ybt1*/ICEKp4  
546 virulence module linked to siderophore-mediated iron acquisition (79, 80, 81).

547 *K. pneumoniae* ST45 has been described worldwide as a carrier of ESBLs and  
548 carbapenemases (82, 83, 84) and was recently reported in Peru as an NDM-producing  
549 lineage (78). In our 2020–2022 collection, ST45 isolates co-produced KPC-2 and NDM-  
550 1, a concerning pattern that intensified during the COVID-19 pandemic. These ST45  
551 isolates lacked QRDR mutations, carried KL62, and encoded *ybt1*/ICEKp4, mirroring the  
552 virulence profile of our ST15 isolates.

553 Virulence in *K. pneumoniae* is associated with additional siderophores (*ybt*, *iuc*, *iro*) and  
554 specific capsular serotypes (K1, K2, K5) (85). Most hvKP infections arise in the Asia-  
555 Pacific region and are enriched in STs such as ST23, ST65, and ST86 (86). We identified  
556 one ST23 isolate carrying hallmark hvKP determinants (e.g., *iro*, *clb*) and *rmpA*  
557 associated with the hypermucoviscosity regulon. Importantly, hypermucoviscosity and  
558 hypervirulence are not synonymous—neither phenotype implies the other (87). Capsule  
559 overproduction (and thus mucoviscosity) can be modulated by *magA*, *rmpA*, *rmpA2*, and

560 the two-component system *rscAB* (87). Consistent with hvKP, our isolate belonged to  
561 capsular type K1 (86).

## 562 Genetic context of carbapenemase genes

563 *bla*<sub>NDM-1</sub>.- All *bla*<sub>NDM-1</sub> positive isolates shared a common backbone (ISAba125 - *bla*<sub>NDM-1</sub>  
564 - *ble*<sub>MBL</sub> - *trpF* - *dsbC* - *dct* - *groES*). This structure matches Peruvian plasmids IncFIB-  
565 IncHI1B pKpCol17ndm from a 2017 urine isolate (GenBank CP072906) (88) and  
566 pNDM1\_Isoform5 from a 2016 isolate (GenBank MN816233.19) (89), and closely  
567 resembles Latin-American IncC type 1 contexts (pKQN17277, Argentina 2014, GenBank  
568 MH995507.1) (90) and pCf638 (Uruguay 2013, GenBank MT897966.1) (91). In our  
569 dataset, *bla*<sub>NDM-1</sub> was carried either by hybrid IncFIB-IncHI1B plasmids (predominantly in  
570 *K. pneumoniae*) or IncC type 2 plasmids (present in both species). These plasmids co-  
571 harbored PMQR genes (*qnrE2*, *qnrVC1*), aminoglycoside acetyltransferases (*aac(3')Ile*,  
572 *aac(6')Ia*), and ESBLs (*bla*<sub>TEM-26</sub>, *bla*<sub>PER-2</sub>)—a resistance constellation frequently  
573 reported in South America (92, 93, 94).

574 *bla*<sub>NDM-5</sub>.- All *bla*<sub>NDM-5</sub> isolates shared ISAba125 - *bla*<sub>NDM-5</sub> - *ble*<sub>MBL</sub> - *trpF* - *dsbD*,  
575 identical to plasmids p32A19001\_A\_NDM (Canada 2019; GenBank PV023112.1) (95)  
576 and pEC26-NDM-5 (Bangladesh 2021; GenBank LC807790.1). *bla*<sub>NDM-5</sub> occurred on  
577 IncFIA/IncFIB/IncFII plasmids and, almost uniformly, in ST167, a globally disseminated  
578 lineage (96, 97). Reports warning of emerging cefiderocol non-susceptibility among  
579 *bla*<sub>NDM-5</sub> carriers warrant vigilance (98, 99).

580 *bla*<sub>KPC-2</sub>.- This gene resided within a non-Tn4401 element (*bla*<sub>NKPC-1C</sub>) featuring a partial  
581 ISKpn6 with its left inverted repeat and a Tn3 resolvase (*tnpR*) flanking *bla*<sub>NKPC-2</sub>. This  
582 arrangement is identical to pKP13d (Brazil 2014; GenBank CP003997.1) (100) and  
583 highly similar to pKP38\_5 from Peru (GenBank CP159931.1) (101). The absence of  
584 Tn4401 repeats suggests recombination-mediated mobility via ISKpn6 and Tn3-family  
585 sequences (102, 103, 104). Most *bla*<sub>KPC-2</sub> loci (10/15) were carried on IncX3-IncU  
586 plasmids, previously reported in clinical, colonization, and even food isolates in the  
587 region (105, 106).

588 *bla*<sub>OXA-48</sub>.- In our cohort, *bla*<sub>OXA-48</sub> was chromosomally located and flanked by IS1R  
589 elements in a configuration resembling Tn2696 embedded within Tn1999 variant 3  
590 (GenBank HE617182.1) (107). Nearly identical chromosomal contexts have been  
591 described in *E. coli* (New Zealand 2020, CP187211.1; Japan 2019, AP024694.1) and *K.*  
592 *pneumoniae* (China 2019, CP134036.1).

593 This analysis covers a restricted sampling window (four institutions in Lima, 2020–2023)  
594 and therefore may not capture the national picture. Long-read plasmid reconstruction  
595 was performed on a subset of representative isolates, providing partial but sufficient  
596 evidence that a limited set of successful plasmids is driving the dissemination of  
597 carbapenemases across lineages, hospitals, and years.

## 598 **CONCLUSIONS**

599 Our WGS analysis of 83 CPE isolates from Peru documents the emergence and spread  
600 of high-risk *K. pneumoniae* lineages (ST147, ST15, ST45) and high-risk *E. coli* lineages  
601 (ST167, ST410), and—to our knowledge—the first detection of *bla*<sub>NDM-5</sub> in the country.  
602 The recurrent association of epidemiologically fit plasmids with additional AMR  
603 determinants underscores the urgent need for coordinated antimicrobial stewardship,  
604 genomic surveillance, and infection-prevention programs to curb carbapenem resistance  
605 in Peru and the wider Latin-American region.

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## 616 **CONFLICT OF INTEREST**

617 The authors declare no conflicts of interest.

## 618 **AUTHOR CONTRIBUTIONS**

619 A.G.R. and E.G.E. conceived and designed the study. E.G.E., R.G.C.M., and L.A.  
620 performed laboratory experiments. J.C.G.T., E.S.C., G.P.L., C.J., M.M.C and R.S.A.  
621 contributed to data collection. A.G.R and E.G.E. performed genomic analysis. E.G.E and  
622 A.G.R. supervised the study and drafted the manuscript. All authors reviewed and  
623 approved the final version.

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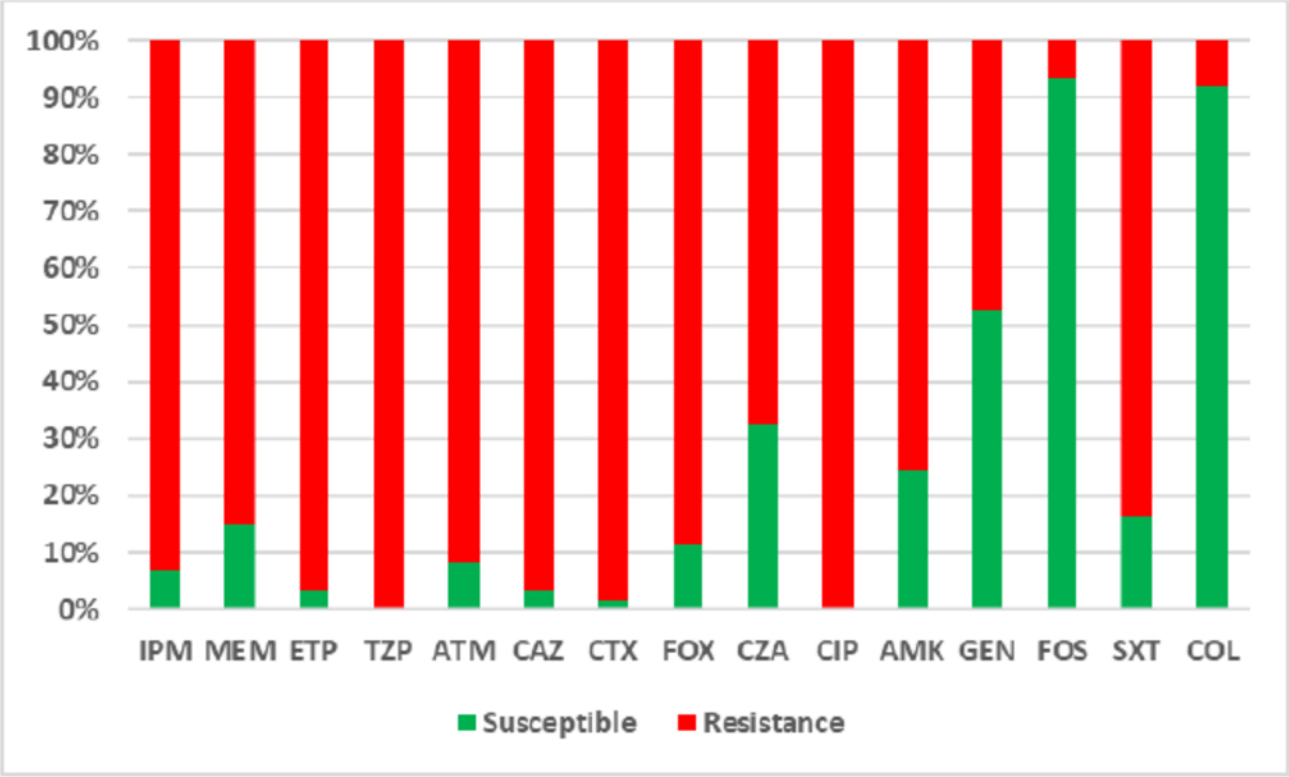
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Figure 1. Distribution of antimicrobial resistance among carbapenemase-producing *Escherichia coli* clinical isolates.



IPM: imipenem, MEM: meropenem; ETP: ertapenem; TZP: piperacillin/tazobactam; ATM: aztreonam; CAZ: ceftazidime; CTX: cefotaxime; FOX: ceftazidime/avibactam; CIP: ciprofloxacin; AMK: amikacin, GEN: gentamicin; FOS: fosfomycin; SXT: sulfamethoxazole/trimethoprim; COL: colistin.



Figure 2. Distribution of antimicrobial resistance among carbapenemase-producing *Klebsiella pneumoniae* clinical isolates.

IPM: imipenem, MEM: meropenem; ETP: ertapenem; TZP: piperacillin/tazobactam; ATM: aztreonam; CAZ: ceftazidime; CTX: cefotaxime; FOX: cefoxitin; CZA: ceftazidime/avibactam; CIP: ciprofloxacin; AMK: amikacin, GEN: gentamicin; FOS: fosfomycin; SXT: sulfamethoxazole/trimethoprim; COL: colistin.

| ID isolate | ST   | Beta lactam |          |           |            |             |          |           | Aminoglycoside |              |            |            |             | Quinolones |       |        |       |        |
|------------|------|-------------|----------|-----------|------------|-------------|----------|-----------|----------------|--------------|------------|------------|-------------|------------|-------|--------|-------|--------|
|            |      | blaNDM-1    | blaNDM-5 | blaOXA-48 | blaCTX-M15 | blaCTX-M-55 | blaPER-2 | blaTEM-26 | blaOXA-1       | aac(6)-Ib-cr | aac(6)-Ian | AAC(3)-Ile | APH(3'')-Ib | APH(6)-Id  | aadA2 | qnrB19 | qnrE2 | qnrVC1 |
| EC306      | 131  |             |          |           |            |             |          |           |                |              |            |            |             |            |       |        |       |        |
| EC260      | 131  |             |          |           |            |             |          |           |                |              |            |            |             |            |       |        |       |        |
| EC18       | 167  |             |          |           |            |             |          |           |                |              |            |            |             |            |       |        |       |        |
| EC42       | 167  |             |          |           |            |             |          |           |                |              |            |            |             |            |       |        |       |        |
| EC145      | 167  |             |          |           |            |             |          |           |                |              |            |            |             |            |       |        |       |        |
| EC231      | 167  |             |          |           |            |             |          |           |                |              |            |            |             |            |       |        |       |        |
| EC261      | 167  |             |          |           |            |             |          |           |                |              |            |            |             |            |       |        |       |        |
| EC281      | 167  |             |          |           |            |             |          |           |                |              |            |            |             |            |       |        |       |        |
| EC344      | 167  |             |          |           |            |             |          |           |                |              |            |            |             |            |       |        |       |        |
| EC359      | 167  |             |          |           |            |             |          |           |                |              |            |            |             |            |       |        |       |        |
| A88        | 167  |             |          |           |            |             |          |           |                |              |            |            |             |            |       |        |       |        |
| EC177      | 167  |             |          |           |            |             |          |           |                |              |            |            |             |            |       |        |       |        |
| EC323      | 167  |             |          |           |            |             |          |           |                |              |            |            |             |            |       |        |       |        |
| A47        | 405  |             |          |           |            |             |          |           |                |              |            |            |             |            |       |        |       |        |
| EC343      | 410  |             |          |           |            |             |          |           |                |              |            |            |             |            |       |        |       |        |
| EC347      | 410  |             |          |           |            |             |          |           |                |              |            |            |             |            |       |        |       |        |
| EC360      | 410  |             |          |           |            |             |          |           |                |              |            |            |             |            |       |        |       |        |
| EC372      | 410  |             |          |           |            |             |          |           |                |              |            |            |             |            |       |        |       |        |
| V12        | 410  |             |          |           |            |             |          |           |                |              |            |            |             |            |       |        |       |        |
| H550       | 410  |             |          |           |            |             |          |           |                |              |            |            |             |            |       |        |       |        |
| EC342      | 410  |             |          |           |            |             |          |           |                |              |            |            |             |            |       |        |       |        |
| A112       | 617  |             |          |           |            |             |          |           |                |              |            |            |             |            |       |        |       |        |
| EC361      | 4628 |             |          |           |            |             |          |           |                |              |            |            |             |            |       |        |       |        |

Figure 3. Resistance genes of carbapenemase-producing *Escherichia coli*. The main antimicrobial resistance (AMR) genes are summarized by bacterial isolate and the most important antimicrobial families.

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| ID isolate | ST  | Bet lactam      |                 |                   |                   |                   |                   |                 |                  |                 | Aminoglycoside   |                   |                     |                  |              |                | Quinolones   |               |              |              |                |
|------------|-----|-----------------|-----------------|-------------------|-------------------|-------------------|-------------------|-----------------|------------------|-----------------|------------------|-------------------|---------------------|------------------|--------------|----------------|--------------|---------------|--------------|--------------|----------------|
|            |     | <i>blaNDM-1</i> | <i>blaKP-C2</i> | <i>blaOXA-181</i> | <i>blaCTX-M14</i> | <i>blaCTX-M15</i> | <i>blaCTX-M55</i> | <i>blaPER-2</i> | <i>blaTEM-26</i> | <i>blaOXA-1</i> | <i>aac(6)-Ia</i> | <i>aac(6)-Iaa</i> | <i>aac(6)-Hb-cr</i> | <i>aac(3)-Ie</i> | <i>aadA2</i> | <i>aph3-Ia</i> | <i>qnrB1</i> | <i>qnrB19</i> | <i>qnrE2</i> | <i>qnrS1</i> | <i>qnrVC-1</i> |
| A_84       | 11  |                 |                 |                   |                   |                   |                   |                 |                  |                 |                  |                   |                     |                  |              |                |              |               |              |              |                |
| R_333      | 11  |                 |                 |                   |                   |                   |                   |                 |                  |                 |                  |                   |                     |                  |              |                |              |               |              |              |                |
| H_22       | 13  |                 |                 |                   |                   |                   |                   |                 |                  |                 |                  |                   |                     |                  |              |                |              |               |              |              |                |
| H_53       | 13  |                 |                 |                   |                   |                   |                   |                 |                  |                 |                  |                   |                     |                  |              |                |              |               |              |              |                |
| R_82       | 13  |                 |                 |                   |                   |                   |                   |                 |                  |                 |                  |                   |                     |                  |              |                |              |               |              |              |                |
| R_83       | 13  |                 |                 |                   |                   |                   |                   |                 |                  |                 |                  |                   |                     |                  |              |                |              |               |              |              |                |
| A_43       | 15  |                 |                 |                   |                   |                   |                   |                 |                  |                 |                  |                   |                     |                  |              |                |              |               |              |              |                |
| A_13       | 15  |                 |                 |                   |                   |                   |                   |                 |                  |                 |                  |                   |                     |                  |              |                |              |               |              |              |                |
| A_78       | 15  |                 |                 |                   |                   |                   |                   |                 |                  |                 |                  |                   |                     |                  |              |                |              |               |              |              |                |
| A_150      | 15  |                 |                 |                   |                   |                   |                   |                 |                  |                 |                  |                   |                     |                  |              |                |              |               |              |              |                |
| A_153      | 15  |                 |                 |                   |                   |                   |                   |                 |                  |                 |                  |                   |                     |                  |              |                |              |               |              |              |                |
| R_3        | 15  |                 |                 |                   |                   |                   |                   |                 |                  |                 |                  |                   |                     |                  |              |                |              |               |              |              |                |
| R_134      | 15  |                 |                 |                   |                   |                   |                   |                 |                  |                 |                  |                   |                     |                  |              |                |              |               |              |              |                |
| R_243      | 15  |                 |                 |                   |                   |                   |                   |                 |                  |                 |                  |                   |                     |                  |              |                |              |               |              |              |                |
| R_269      | 15  |                 |                 |                   |                   |                   |                   |                 |                  |                 |                  |                   |                     |                  |              |                |              |               |              |              |                |
| A_100      | 23  |                 |                 |                   |                   |                   |                   |                 |                  |                 |                  |                   |                     |                  |              |                |              |               |              |              |                |
| A_62       | 25  |                 |                 |                   |                   |                   |                   |                 |                  |                 |                  |                   |                     |                  |              |                |              |               |              |              |                |
| H_46       | 37  |                 |                 |                   |                   |                   |                   |                 |                  |                 |                  |                   |                     |                  |              |                |              |               |              |              |                |
| V_9        | 45  |                 |                 |                   |                   |                   |                   |                 |                  |                 |                  |                   |                     |                  |              |                |              |               |              |              |                |
| H_01       | 45  |                 |                 |                   |                   |                   |                   |                 |                  |                 |                  |                   |                     |                  |              |                |              |               |              |              |                |
| H_08       | 45  |                 |                 |                   |                   |                   |                   |                 |                  |                 |                  |                   |                     |                  |              |                |              |               |              |              |                |
| H_09       | 45  |                 |                 |                   |                   |                   |                   |                 |                  |                 |                  |                   |                     |                  |              |                |              |               |              |              |                |
| H_18       | 45  |                 |                 |                   |                   |                   |                   |                 |                  |                 |                  |                   |                     |                  |              |                |              |               |              |              |                |
| H_32       | 45  |                 |                 |                   |                   |                   |                   |                 |                  |                 |                  |                   |                     |                  |              |                |              |               |              |              |                |
| A_29       | 45  |                 |                 |                   |                   |                   |                   |                 |                  |                 |                  |                   |                     |                  |              |                |              |               |              |              |                |
| R_100      | 116 |                 |                 |                   |                   |                   |                   |                 |                  |                 |                  |                   |                     |                  |              |                |              |               |              |              |                |
| A_85       | 147 |                 |                 |                   |                   |                   |                   |                 |                  |                 |                  |                   |                     |                  |              |                |              |               |              |              |                |
| H_6        | 147 |                 |                 |                   |                   |                   |                   |                 |                  |                 |                  |                   |                     |                  |              |                |              |               |              |              |                |
| R_127      | 147 |                 |                 |                   |                   |                   |                   |                 |                  |                 |                  |                   |                     |                  |              |                |              |               |              |              |                |
| R_251      | 147 |                 |                 |                   |                   |                   |                   |                 |                  |                 |                  |                   |                     |                  |              |                |              |               |              |              |                |

Figure 4A. Resistance genes of carbapenemase-producing *Klebsiella pneumoniae*. The main antimicrobial resistance (AMR) genes are summarized by bacterial isolate and the most important antimicrobial families.

| ID isolate | ST   | Bet lactam      |                 |                   |                   |                   |                   |                 |                  |                 | Aminoglycoside    |                   |                      |                  |              |                | Quinolones   |               |              |              |                |
|------------|------|-----------------|-----------------|-------------------|-------------------|-------------------|-------------------|-----------------|------------------|-----------------|-------------------|-------------------|----------------------|------------------|--------------|----------------|--------------|---------------|--------------|--------------|----------------|
|            |      | <i>blaNDM-1</i> | <i>blaKPC-2</i> | <i>blaOXA-181</i> | <i>blaCTX-M14</i> | <i>blaCTX-M15</i> | <i>blaCTX-M55</i> | <i>blaPER-2</i> | <i>blaTEM-26</i> | <i>blaOXA-1</i> | <i>aac(61)-Ia</i> | <i>aac(61)-Ia</i> | <i>aac(61)-Ib-cr</i> | <i>aac(3)-Ie</i> | <i>aadA2</i> | <i>aph3-Ia</i> | <i>qnrB1</i> | <i>qnrB19</i> | <i>qnrE2</i> | <i>qnrS1</i> | <i>qnrVC-1</i> |
| R 22       | 147  |                 |                 |                   |                   |                   |                   |                 |                  |                 |                   |                   |                      |                  |              |                |              |               |              |              |                |
| R 28       | 147  |                 |                 |                   |                   |                   |                   |                 |                  |                 |                   |                   |                      |                  |              |                |              |               |              |              |                |
| R 199      | 147  |                 |                 |                   |                   |                   |                   |                 |                  |                 |                   |                   |                      |                  |              |                |              |               |              |              |                |
| R 259      | 147  |                 |                 |                   |                   |                   |                   |                 |                  |                 |                   |                   |                      |                  |              |                |              |               |              |              |                |
| R 292      | 147  |                 |                 |                   |                   |                   |                   |                 |                  |                 |                   |                   |                      |                  |              |                |              |               |              |              |                |
| R 304      | 147  |                 |                 |                   |                   |                   |                   |                 |                  |                 |                   |                   |                      |                  |              |                |              |               |              |              |                |
| R 319      | 147  |                 |                 |                   |                   |                   |                   |                 |                  |                 |                   |                   |                      |                  |              |                |              |               |              |              |                |
| R 338      | 147  |                 |                 |                   |                   |                   |                   |                 |                  |                 |                   |                   |                      |                  |              |                |              |               |              |              |                |
| R 367      | 219  |                 |                 |                   |                   |                   |                   |                 |                  |                 |                   |                   |                      |                  |              |                |              |               |              |              |                |
| R 101      | 219  |                 |                 |                   |                   |                   |                   |                 |                  |                 |                   |                   |                      |                  |              |                |              |               |              |              |                |
| R 143      | 258  |                 |                 |                   |                   |                   |                   |                 |                  |                 |                   |                   |                      |                  |              |                |              |               |              |              |                |
| R 240      | 258  |                 |                 |                   |                   |                   |                   |                 |                  |                 |                   |                   |                      |                  |              |                |              |               |              |              |                |
| A 4        | 273  |                 |                 |                   |                   |                   |                   |                 |                  |                 |                   |                   |                      |                  |              |                |              |               |              |              |                |
| A 48       | 273  |                 |                 |                   |                   |                   |                   |                 |                  |                 |                   |                   |                      |                  |              |                |              |               |              |              |                |
| A 50       | 273  |                 |                 |                   |                   |                   |                   |                 |                  |                 |                   |                   |                      |                  |              |                |              |               |              |              |                |
| A 55       | 273  |                 |                 |                   |                   |                   |                   |                 |                  |                 |                   |                   |                      |                  |              |                |              |               |              |              |                |
| A 65       | 273  |                 |                 |                   |                   |                   |                   |                 |                  |                 |                   |                   |                      |                  |              |                |              |               |              |              |                |
| A 126      | 273  |                 |                 |                   |                   |                   |                   |                 |                  |                 |                   |                   |                      |                  |              |                |              |               |              |              |                |
| H 26       | 273  |                 |                 |                   |                   |                   |                   |                 |                  |                 |                   |                   |                      |                  |              |                |              |               |              |              |                |
| A 49       | 462  |                 |                 |                   |                   |                   |                   |                 |                  |                 |                   |                   |                      |                  |              |                |              |               |              |              |                |
| R 363      | 629  |                 |                 |                   |                   |                   |                   |                 |                  |                 |                   |                   |                      |                  |              |                |              |               |              |              |                |
| R 1        | 629  |                 |                 |                   |                   |                   |                   |                 |                  |                 |                   |                   |                      |                  |              |                |              |               |              |              |                |
| R 327      | 629  |                 |                 |                   |                   |                   |                   |                 |                  |                 |                   |                   |                      |                  |              |                |              |               |              |              |                |
| R 25       | 709  |                 |                 |                   |                   |                   |                   |                 |                  |                 |                   |                   |                      |                  |              |                |              |               |              |              |                |
| R 21       | 1271 |                 |                 |                   |                   |                   |                   |                 |                  |                 |                   |                   |                      |                  |              |                |              |               |              |              |                |
| A 146      | 1774 |                 |                 |                   |                   |                   |                   |                 |                  |                 |                   |                   |                      |                  |              |                |              |               |              |              |                |
| H 12       | 1876 |                 |                 |                   |                   |                   |                   |                 |                  |                 |                   |                   |                      |                  |              |                |              |               |              |              |                |
| H 11       | 1876 |                 |                 |                   |                   |                   |                   |                 |                  |                 |                   |                   |                      |                  |              |                |              |               |              |              |                |
| H 51       | 1876 |                 |                 |                   |                   |                   |                   |                 |                  |                 |                   |                   |                      |                  |              |                |              |               |              |              |                |
| R 24       | 4074 |                 |                 |                   |                   |                   |                   |                 |                  |                 |                   |                   |                      |                  |              |                |              |               |              |              |                |

Figure 4B. Resistance genes of carbapenemase-producing *Klebsiella pneumoniae*. The main antimicrobial resistance (AMR) genes are summarized by bacterial isolate and the most important antimicrobial families.