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2 **Bacterial perspectives on the dissemination of antibiotic resistance**  
3 **genes in domestic wastewater bio-treatment systems: Beneficiary to**  
4 **victim.**

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6 Dong Wu<sup>1, 2</sup>, Jan Dolfing<sup>3</sup>, Bing Xie<sup>1, 2\*</sup>

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8 <sup>1</sup> Shanghai Key Lab for Urban Ecological Processes and Eco-Restoration, School of  
9 Ecological and Environmental Science, East China Normal University, 500 Dong  
10 Chuan Road, Shanghai 200241, People's Republic of  
11 China; [52143903011@ecnu.edu.cn](mailto:52143903011@ecnu.edu.cn); [bxie@des.ecnu.edu.cn](mailto:bxie@des.ecnu.edu.cn);

12 <sup>2</sup> Joint Research Institute for New Energy and the Environment, East China Normal  
13 University and Colorado State University, Shanghai 200062, China

14 <sup>3</sup> School of Civil Engineering and Geosciences, Newcastle University, Newcastle  
15 upon Tyne NE1 7RU, UK; [jan.dolfing@ncl.ac.uk](mailto:jan.dolfing@ncl.ac.uk);

16 \*Corresponding Author: Bing Xie; East China Normal University, Shanghai 200241,  
17 P.R. China; [bxie@des.ecnu.edu.cn](mailto:bxie@des.ecnu.edu.cn); Phone: (+86) 021-54341276

18

19 **Abstract**

20 Domestic wastes, ranging from sewage and sludge to municipal solid waste, are  
21 usually treated in bioprocessing systems. These systems are regarded as main conduits  
22 for the elevated levels of antibiotic resistance genes (ARGs) observed in the  
23 environment. This paper mainly reviews recent studies on the occurrence and  
24 dynamics of ARGs in wastewater bio-treatment systems and discusses the ins and outs  
25 of ARG dissemination from the perspective of the microbial community. Our analysis  
26 shows that concentration of antibiotics through adsorption to microbial aggregates  
27 triggers the bacteria to acquire ARGs, which can be facilitated by the presence of  
28 mobile genetic elements. Notably, the acquisition and flow of ARGs during the rapid  
29 dissemination process is directed towards and for the best interests of the microbial  
30 community as a whole, and is influenced by surrounding nutrient levels, toxicant  
31 types and sensitivities of the species in the prevailing antibiotic-stressed conditions.  
32 Furthermore, our review argues that predation of ARG-carrying bacteria by  
33 bacteriophages does periodically enhance the accessibility of ARGs to bacteria, which  
34 indirectly facilitates the recruitment of ARGs into environmental microbial  
35 communities.

36 **Keywords** Domestic wastes • Antibiotic resistance genes • Waste  
37 bio-treatment • Antibiotic resistance dissemination

38

## 39 **Introduction**

40 The classic story how Alexander Fleming discovered antibiotic-producing  
41 microorganisms tells us that nature itself harbors reservoirs of antibiotics. Previous  
42 studies have also shown that antibiotic resistance genes (ARGs) are ancient DNA  
43 fragments (D'Costa et al. 2011), predating the use of antibiotics by *Homo sapiens* by  
44 tens of thousands of years (Hardy et al. 2012). But notably, by analyzing soil samples  
45 spanning the last 70 years, environmental scientists have shown that the basal levels  
46 of ARGs are increasing in parallel with the modern massive production of antibiotics  
47 (Graham et al. 2016; Knapp et al. 2010). From the local to the transcontinental scale,  
48 the disposal of anthropogenic wastes is considered as a major factor fueling ARG  
49 dissemination (Pehrsson et al. 2016; Zhu et al. 2017).

50 The rapid anthropogenic dissemination of antimicrobial resistant bacteria (ARB) and  
51 ARGs across the world challenges the concept that antimicrobial resistance (AMR) is  
52 just a “natural feature of diverse microbial ecosystems” (Crofts et al. 2017;  
53 Wellington et al. 2013). This review aims to integrate studies addressing chemical  
54 (antibiotics/metals) selection pressures versus the cost-effect balance of acquiring  
55 ARGs (being resistant) from the perspective of bacteria and bacterial community. Our  
56 conclusions are expected to serve as starting points for the development of ecological  
57 approaches to reduce the spread of AMR issues in the environment.

## 58 **Dissemination of ARGs is not random**

### 59 **General benefits and costs of being antibiotic resistant**

60 In natural ecosystems, antibiotics produced by intrinsically resistant bacteria (in  
61 pristine environments) are playing various functional roles, like signaling (mutual  
62 beneficial signals), aiding dispersal and acting as toxicants (Ratcliff and Denison

63 2011), which give antibiotics-producing bacteria advantages over their competitors in  
64 the microbial community. Current studies generally presume that the genes for  
65 antibiotic resistance initially emerged in the wastes and body (e.g. intestinal  
66 microenvironments) under selective pressures of antibiotics-feeding animals or  
67 humans, or stem from intrinsic resistant bacteria (Pehrsson et al. 2016), whereas the  
68 subsequent dissemination of ARGs via horizontal gene transfer (HGT) is  
69 characterized with more randomness (Czekalski et al. 2014; Gaze et al. 2011). It  
70 seems plausible that ARGs or their fragments preserved in environments could be  
71 incidentally acquired by bacteria via HGT (Guo et al. 2017; Mao et al. 2014), and  
72 thereby facilitate the propagation of AMR. Previous studies have consistently pointed  
73 out that mobile genetic elements (MGEs) including integrons, insertion sequences,  
74 transposons and plasmids are responsible for the “promiscuity” of ARGs (Yu et al.  
75 2016; Zhu et al. 2017). According to the evolution theory of Darwin, the overall  
76 increasing levels of ARGs in anthropogenic wastes and their impacted environments,  
77 whether in farming lands (Su et al. 2015), wastewater treatment plants (Yang et al.  
78 2014), municipal landfills (Sun et al. 2016), or contaminated river (Jiang et al. 2013;  
79 Stepanauskas et al. 2006), should also confer a benefit to the bacteria that have  
80 acquired ARGs.

81 It is recognized that HGT allows distantly related bacteria (different species) to  
82 transfer genes (Koonin et al. 2001). This evolutionary phenomenon usually takes  
83 place during a period of adaptation to new environmental conditions, where HGT  
84 requires extra energy to capture extracellular DNA fragments, replicate and maintain  
85 these genetic materials (Baltrus 2013). In a long term, compared to conventional  
86 bacterial reproduction (**Fig. 1**), microorganisms will experience additional detrimental  
87 side effects known as “metabolic burdens” that are induced by increases in gene  
88 expressions of the HGT related DNA regions (Park and Zhang 2012). Therefore, if  
89 newly acquired ARGs are not fitted to an antimicrobial role in none antibiotic-stressed

90 conditions (**Fig. 1**), the HGT-related costs will be net energy losses. In this case,  
91 bacteria that host ARGs will have comparatively less energy in reproduction. This  
92 could inherently decrease the proportion of ARGs in the gene pools of any type of  
93 environment (Bjorkman and Andersson 2000). It is common to observe the loss and  
94 decreasing abundance of HGT related genes in environmental samples (Mao et al.  
95 2014; Rysz et al. 2013). Thus, to unravel the puzzle why ARGs are massively  
96 sprawling from human to natural environments, we need to better understand how  
97 bacteria benefit from being antibiotic resistant.

### 98 **Impacts of discharge and bio-adsorption of antibiotics**

99 The total amount of antibiotics consumed by humans increased by 46% between 2000  
100 to 2010 (Van Boeckel et al. 2014), reaching an annual consumption of 15g per capita  
101 (Zhang et al. 2008). Kümmerer et al. (2000) estimated that domestic sewer networks  
102 and sewage treatment plants receive 20–40% of all outdated medicaments. Although  
103 pharmaceuticals, classified as hazardous wastes (Environment Agency 2013), are not  
104 permitted to be disposed in sewer now, a wide range of pharmaceuticals is still found  
105 in anthropogenic wastes and waste treatment systems (Bound and Voulvoulis 2005).  
106 Studies show that 75% of antibiotics fed to animals (200,000 tons/year are used in  
107 livestock farming systems) and up to 50% of total amount prescribed to humans are  
108 discharged (e.g. urinary excretion) in an active form (Kemper 2008; Van Boeckel et al.  
109 2014).

110 In general, the levels of antibiotics detected in domestic wastewater and solid wastes  
111 are at the nanogram per liter or per kilogram level (Marx et al. 2015; Miao et al. 2004;  
112 Sun et al. 2016; Wu et al. 2015; Zhou et al. 2013). This is one order of magnitude  
113 lower than the minimum selective concentration (MSC), which can cause inhibition  
114 (AMR mutations) on drug-hypersensitive strains (Andersson and Hughes, 2014). This

115 seems to suggest that the acquisition of ARGs would not confer an advantage, being  
116 resistant to antibiotics, to the recipient bacteria (**Fig. 1**). However, conventional  
117 biotreatment facilities utilizing densely agglomerated bacteria (active sludge flocs or  
118 biofilms) were not originally designed for the reduction of antibiotics (Marx et al.  
119 2015). The observed reduction of most antibiotics in wastewater treatment effluent is  
120 more indicative of their “disappearance” via bio-adsorption than of them being  
121 biodegraded (Kümmerer 2008). This is because bacteria compete to rapidly adsorb  
122 organic matter from wastewater and then conduct a slower metabolic assimilation  
123 (Chua and Hua 1996). Consequently, a distinct gradient of organic matters (e.g.  
124 antibiotics) is formed around the radius of the sludge flocs (**Fig. 2**). Guellil et al.  
125 (2001).’s research shows that sludge’s biosorption rates of organic matters from range  
126 from 5-15 mg<sub>COD</sub>/g<sub>TSS</sub>·min<sup>-1</sup>.

127 In terms of antibiotics, compounds that are featured with high octanolewater partition  
128 coefficient ( $K_{ow} > 2.5$ ), such as tetracyclines, macrolides (MLs) and fluoroquinolones  
129 (FQs), usually show high sorption potentials onto solids or sludge (Michael et al.  
130 2013). From a wider perspective, a mass balance analysis conducted by Zhou et al.  
131 (2013) shows that on average 70% of the tetracycline entering domestic wastewater  
132 treatment plant was redistributed to the biosolids (sludge) phase. Lindberg et al. (2006)  
133 pointed out that, for FQs (norfloxacin and ciprofloxacin), this value can increase to  
134 80%. A higher adsorption rate in wastewater treatment systems can be promoted by  
135 increasing the sludge concentration, which is achieved through increasing the sludge  
136 retention time (SRT) in practice (Abegglen et al. 2009). Similarly, extending SRT  
137 from 3 to 40 days resulted in a 50% higher transfer of MLs and FQs to sludge (Li et al.  
138 2013).

139 According to Mao et al. (2014), the addition of plasmids doubled the ARG-uptake rate  
140 from the extracellular matrix under an antibiotics-stressed condition (kanamycin;

141 20mg/L), relative to the unstressed condition; however, under the same  
142 antibiotic-stressed condition, no ARGs transfer was observed when plasmids were not  
143 added. These observations suggest that a rapid ARG propagation through natural  
144 transformation from extracellular DNA to indigenous bacteria needs the i) sufficient  
145 amount of MGEs ; ii) presence of antibiotics that confer selective pressures. As shown  
146 in **Fig. 2**, the prevailing bioadsorption of antibiotics by sludge flocs provides these  
147 two prerequisites. This may imply that the widely disseminated ARGs, instead of  
148 being incidentally involved in HGT, do function in antibiotic resistance in wastewater  
149 bio-treatment systems. Luczkiewicz et al. (2010) reported that the abundances of  
150 tetracycline resistant *E. faecalis* and penicillin resistant *E. coliforms* increased by 10%  
151 and 15%, respectively, in activate sludge. Similarly, Szczepanowski et al. (2009)  
152 showed that bacteria in sludge from a domestic wastewater treatment plant exhibited a  
153 reduced susceptibility to antibiotics and meanwhile 140 clinically important ARGs,  
154 situated on MGEs, were enriched in the system.

## 155 **Mediation of microbial community conditions**

156 Bacterial communities in either natural environments or biotreatment systems have  
157 the tendency to act as a unit, where each species contributes to the function of the  
158 whole consortium. From this perspective, the dissemination of ARGs needs to fit the  
159 best interests of individual bacteria as well as the whole microbial consortium. For  
160 example, a metagenomic analysis shows that ARGs are rarely associated with MGEs  
161 (Chen et al. 2016) in pristine Tibetan soil samples, which are not contaminated by  
162 antibiotics. Also, environmental resistome is observed to structure with composition  
163 of microbial community, which is commonly defined by surrounding carbon or  
164 secondary nutrients contents (Forsberg et al. 2014). These findings suggest that the  
165 dissemination of ARGs in those environments is not facilitated by random or  
166 unregulated associations with MGEs (**Fig. 1**).



167 **Serving best interests**

168 The currently identified mechanisms of antibiotic resistance are comprised of efflux  
169 pumps, target modification (resistance mutations that modify the target protein),  
170 inactivation of the antibiotic, and target bypass (e.g. impermeable cell membrane) or  
171 lack of target (Allen et al. 2010). Compared to other bacteria, the ARGs-carried ones  
172 appear to have a wider choice of substrates if the integrated ARGs allow them to  
173 consume antibiotics via their inactivation functions (Dantas et al. 2008). Nevertheless,  
174 it is important to note that antibiotics are not a good source of carbon and energy. For  
175 example, the presence of acetate can reduce the biodegradation rate of antibiotics  
176 (Drillia et al. 2005).

177 In the case of domestic wastes and treatment systems, the easily degradable organics  
178 are rarely depleted and therefore the microorganisms in these systems are reluctant to  
179 switch to antibiotics as substrate. Metagenomics analysis also shows that the most  
180 prevalent mechanism of antibiotic resistance is efflux pumps (Christgen et al. 2015;  
181 Yang et al. 2014), which keeps antibiotics out of the cell, instead of decomposing  
182 them. But notably, the dissemination of ARGs is coordinated by a whole microbial  
183 community. Cordero et al. (2012) and Nguyen et al. (2011) state that bacterial  
184 populations are not driven by gene-centric and “selfish” dynamics but represent  
185 socially “cohesive units” regarding antimicrobial resistance in common microhabitats.  
186 For example, a previous study has shown that, in an antibiotics stressed domestic  
187 waste treatment system, denitrification by denitrifying bacteria proceeded smoothly  
188 thanks to the presence and activity of ARGs in the non-denitrifying party of the  
189 population (Wu et al. 2017). This means that not all bacteria affected by antibiotics  
190 need to and indeed will acquire ARGs, and become resistant in the environment. In  
191 mixed-species biofilms, Lee et al. (2014) has shown that the increased antibiotic  
192 resistance/tolerance was conferred via cross-protection (**Fig. 3**), which was offered by

193 one resistant species (*Pseudomonas protegens* Pf-5) to all members in the microbial  
194 assembly; this study also found that the role of protector (resistant strains) can be  
195 switched to other species, under different cultivation (antibiotic types and nutrition  
196 levels) conditions, for the highest growth rate of biofilms. All these observations  
197 suggest that the aggregated bacteria are prone to serve the best interests of microbial  
198 communities, where the dissemination direction of ARGs is systematically oriented  
199 by antibiotic types, bacterial sensitivity and the most needed functions for microbial  
200 community to expand (**Fig. 3**).

### 201 **The importance of metals**

202 Apart from antibiotics, (heavy) metals are considered to impose relatively strong  
203 selection pressure on surrounding bacteria (Hu et al. 2017). Metals have  
204 physico-chemical characteristics that promote the build-up of resistance–selective  
205 concentrations, e.g. bio-adsorption, complexation, physical adsorption in the  
206 environment (Seiler and Berendonk 2012), more so than the other AMR selective  
207 agents (Czekalski et al. 2014). The links between metals and increasing tolerance to  
208 antibiotics have been studied extensively. Baker-Austin et al. (2006) systematically  
209 grouped the resistance mechanisms induced by metals into three classes. Briefly, they  
210 are (i) cross-selection resistance, where one gene encodes resistance to both  
211 antibiotics and metals, (ii) co-selection resistance, where ARGs and metal resistant  
212 genes (MRGs) encode resistances to antibiotics and metals respectively but are  
213 physically located closely (generally in MGEs, plasmids for example), and (iii)  
214 co-regulatory resistance, where genetic transcription links metals and antibiotic  
215 resistance together, observed as unselective, active efflux of inhibitory toxicants,  
216 regardless of exposure to either metals or antibiotics. Among these resistance  
217 mechanisms, the co-selection of antibiotic and metal resistance was most commonly  
218 observed in bio-treatment systems, probably due to the high abundances of MGEs (Di

219 Cesare et al. 2016; Yu et al. 2016).

220 Li et al. (2017) have revealed that i) ARGs and MRGs are genetically associated with  
221 MGEs (signal of co-selection) in all environmental samples; ii) HGT of ARGs and  
222 MRGs does rarely result in same ARG-MRG couples being shared across different  
223 environments. These two findings suggest that co-selection of ARGs and MRGs is a  
224 pervasive mechanism in all types of environments on one hand, but also imply that  
225 environmental conditions, rather than MGEs, determine which ARG-MRG pair shall  
226 be coupled on the other. This is presumably because that, as a defensive function  
227 (similar to the AMR) whose acquisition costs extra energy and risks low reproduction  
228 rates of bacteria (**Fig. 1**), the metal resistance (mechanism) has evolved to benefit the  
229 resistance gene(s) carriers and/or the whole microbial community (Miao et al. 2015).  
230 Additionally, Li et al. (2017) have shown that the multidrug resistance type(s) are  
231 most frequently observed to co-occur with MRGs (25% of all samples). Metagenomic  
232 analyses have shown that efflux pumps, known as multi-resistance to metals and  
233 antibiotics, are the prevalent mechanism (50% - 80% of resistance types) in domestic  
234 waste impacted areas and bio-treatment systems (Chen et al. 2013; Christgen et al.  
235 2015; Su et al. 2015). Thus, future studies aiming to contain the rapid dissemination  
236 of ARGs should pay attention to the distribution of multidrug resistance and  
237 co-conferring antibiotic resistances of MRGs.

### 238 **What if bacteria are victims?**

239 In the previous sections, we have discussed the dissemination of ARGs in domestic  
240 wastes and waste treatment systems from bacterial perspectives as beneficiaries that  
241 master the game-theory in gaining maximal energy-gains. The published studies have  
242 also shown that bacteria can actively compromise resistance sensitive species for the  
243 interest of whole community (Lee et al. 2014; Wu et al. 2017). However, bacteria are  
244 not the microbes at the end of multi-hierarchical “food chains”. They can be

245 “consumed” by bacteriophages (or phages). Compared to other life forms, phages are  
246 the most abundant entities on earth (Frost et al. 2005). Their high multiplication rates  
247 ( $\sim 1 \times 10^{25}$  per second) and concomitant lysis rates of the bacterial hosts greatly  
248 facilitate the reproduction and release of genetic elements to other bacterial cells,  
249 namely, transduction (Canchaya et al. 2003).

250 The genome size of phages ranges from a few to several 100 kb (Wu and Liu 2009),  
251 which is equivalent to the size of plasmids. This indicates that the phage-head is  
252 spacious enough to accommodate ARGs (Colomer-Lluch et al. 2011). During  
253 transduction, DNA fragments from an infected donor (host) can be accidentally  
254 loaded into the phage and then transferred to a recipient cell (**Fig. 4**). The aggregated  
255 biomass in waste and waste treatment systems is densely populated with phages  
256 (Colomer-Lluch et al. 2014; Withey et al. 2005). Moreover, according to Shapiro and  
257 Kushmaro (2011), some phages favor the introduction of antibiotics or metals in that  
258 toxicants may facilitate lysis of bacterial populations in domestic wastes. Rather than  
259 establishing a mutualistic relationship with bacteria, phages sometimes function as  
260 bacterial population manipulators (Rodriguez-Valera et al. 2009; Thingstad 2000).  
261 Phages are capable of attenuating the proliferation of some ARB strains in activated  
262 sludge (Yu et al. 2017). Presently, we have very limited knowledge of the benefits for  
263 phages by integrating ARGs or attacking ARB. But, phages were commonly observed  
264 to infect the dominant bacterial strains in the waste treatment systems (Shapiro et al.  
265 2010), where bacteria could benefit from the acquisition of ARGs and then become  
266 major species, the “winners of microbial competition” (**Fig. 1**).

267 However, phages may not be used for removal of AMR genes from bio-treatment  
268 systems. Calero-Caceres and Muniesa (2016) have shown that ARGs (*bla*<sub>TEM</sub>,  
269 *bla*<sub>CTX-M</sub> and *sul1*) could persist longer when they were in phages than when in the  
270 bacterial fraction. Importantly, the commonly used disinfection technologies,

271 including UV-irradiation and chlorination, have no significant effects on the  
272 inactivation of the phage-fraction ARGs (Brown-Jaque et al. 2015; Calero-Caceres  
273 and Muniesa 2016; Colomer-Lluch et al. 2014). This suggests that predation of ARG  
274 carrying bacteria by phages increase the retention time of ARGs in waste treatment  
275 systems (Chen et al. 2016). **Fig. 4** shows that these ARG-containing phages will be  
276 released into environment along with the treated wastewater (waste) being discharged.  
277 They might re-infect bacterial populations in receiving environments and transduce  
278 ARGs from phage head into the, possibly dominant (Thingstad 2000), bacteria  
279 carrying no ARGs. Therefore, the phage-mediated ARG transduction could also  
280 indirectly promote propagation of ARGs. To validate this assumption, future studies  
281 should focus on the direction of the flow of the phage-fraction ARGs, possibly via  
282 DNA isotopic or fluorescent labeling.

## 283 **Conclusions**

284 Domestic wastes are hotspots of antibiotics and ARGs. Their treatment systems  
285 conventionally utilizing dense microbial communities facilitate the dissemination of  
286 ARGs within these aggregates and exacerbate AMR issues in the environments  
287 receiving the wastes. Thus, to contain the propagation of ARGs, we need to consider  
288 the salient characteristics of ARGs from the perspective of the bacteria, and then  
289 determine the possibility to reduce ARGs' contents. Our literature review underlines  
290 that dissemination of ARGs is not a random, rapid process, but requires the presence  
291 of selective pressure (metals and antibiotics) and mobile genetic elements (e.g.  
292 plasmids), the two prerequisites that are provided in the bio-treatment system due to  
293 bio-adsorption. Here, we propose a theory that the propagation of ARGs is mediated  
294 by the bacteria at the microbial community level: the community controls which  
295 species shall carry ARGs to counter the pressure of antibiotics, metals or other  
296 toxicants, and thereby maximize its expansion rates and survival chances.

297 Furthermore, we have conceptually analyzed potentials of AMR dissemination by  
298 bacterial phages, where a quantitative insight in the integration and release flux of the  
299 bacteriophage-fraction ARGs is yet to be explored.

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308 **Ethical/COI Statements**

309 The authors declare that they have no conflict of interest.

310 The manuscript has not been published elsewhere and all authors have seen the  
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562 **LEGEND OF FIGURES**

563 **Fig. 1** HGT requires considerable extra energy (yellow stars) and increases metabolic  
564 burdens of the bacterial cells (bacteria in pink color). This will decrease the proportion  
565 of ARGs in environmental gene pools without the imposed stresses from antibiotics. .  
566 The dark yellow circles represent the bacterial plasmids; and the red rods (Abs)  
567 represent antibiotics in surrounding environment.

568 **Fig. 2** Active sludge aggregated in conventional bio-treatment systems can rapidly  
569 adsorb organic matters from wastewater. The high contents of antibiotics and MGEs  
570 formed on the periphery of bio-flocs promoted the ARGs dissemination across the  
571 whole bio-treatment systems. The dark yellow circles represent the bacterial plasmids;  
572 and the red rods (Abs) represent antibiotics.

573 **Fig. 3** AMR can be offered by one strain to protect whole microbial community.  
574 When exposed to different antibiotics (Abs-1 or Abs-2), the AMR and resistant  
575 species can switch to others. The dark yellow circles represent bacterial plasmids. And  
576 the red and red segments represent different types of ARGs.

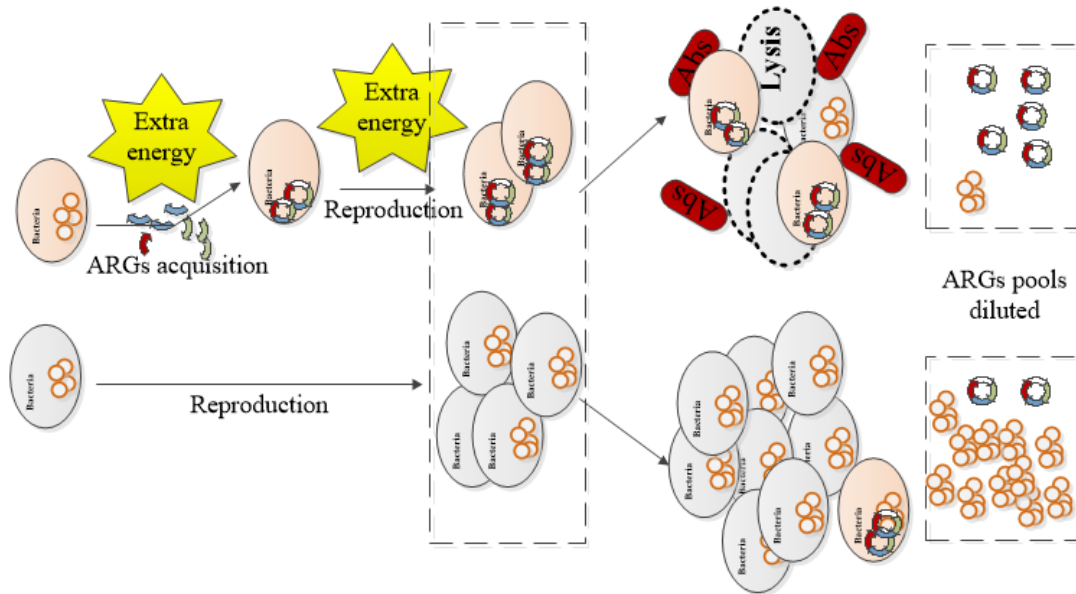
577 **Fig. 4** In bio-treatment systems, phages acting as population manipulators prefer to  
578 infect the dominant ARB (in the presence of antibiotics). The phage-fraction ARGs  
579 are more resistant to disinfection (e.g. UV and chlorination) than the bacteria-fraction.  
580 This facilitates the dissemination of ARGs in wastes receiving environments. Red  
581 rods represent antibiotics (Abs); and red and green segments represent two different  
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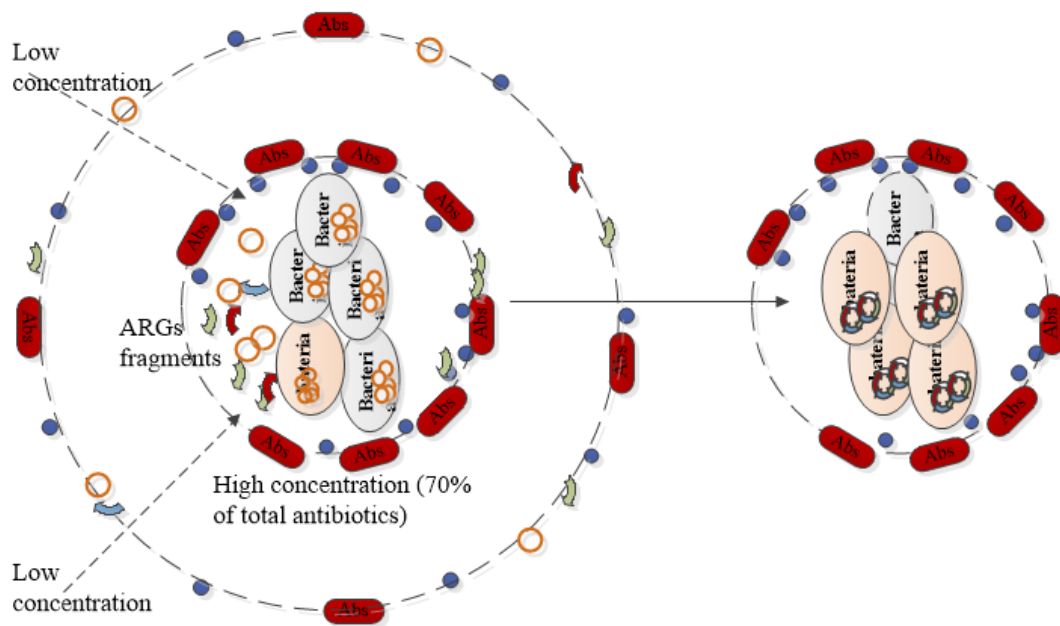


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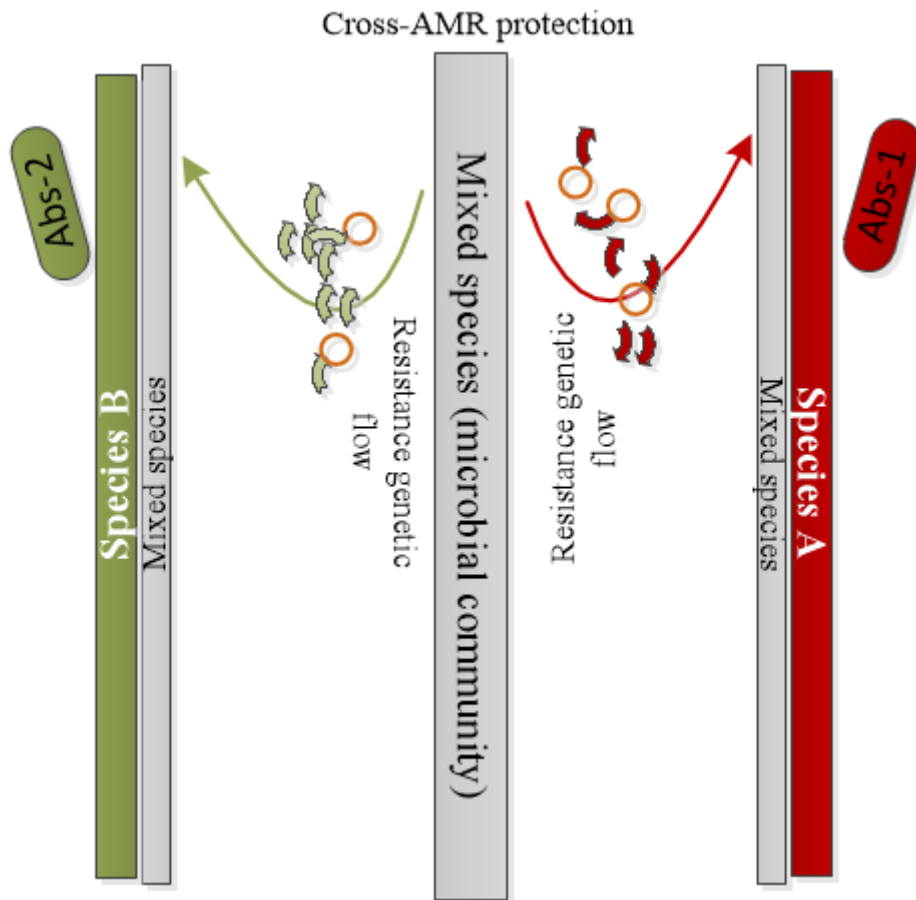
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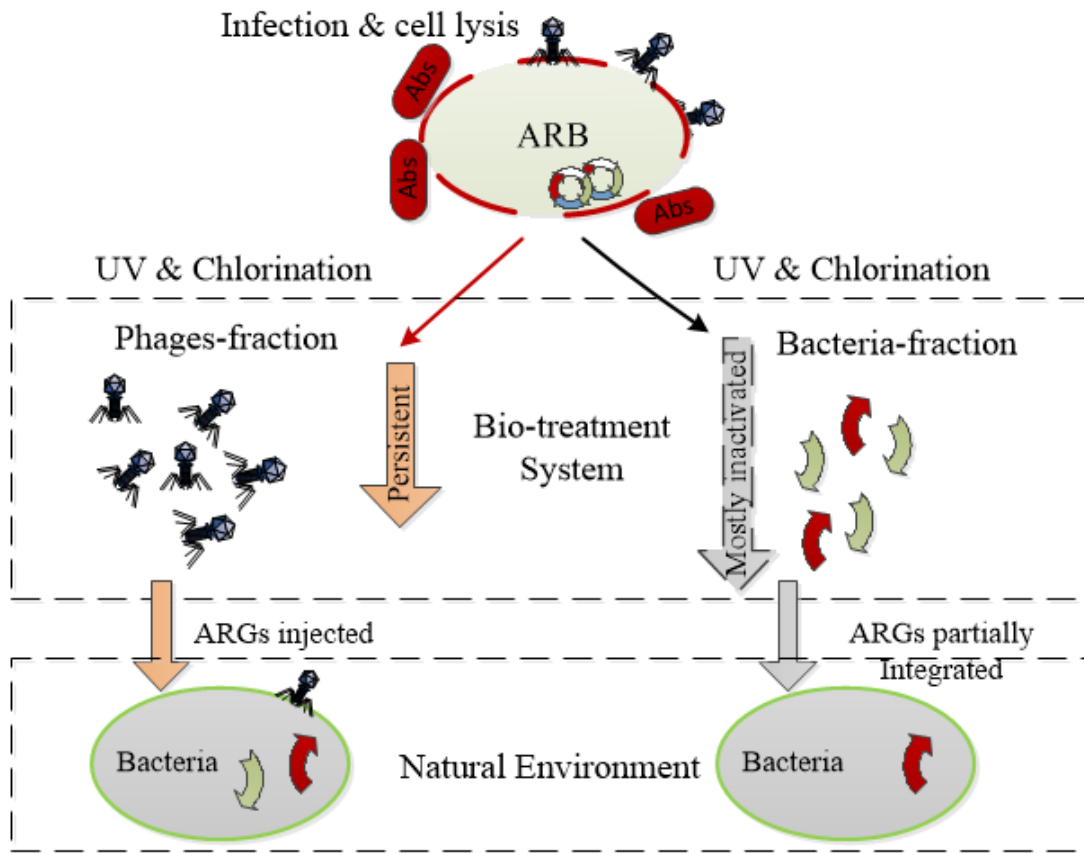
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