

# Trends in Microbiology

## Microbial Genomics of Ancient Plagues and Outbreaks

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<b>Abstract:</b>	<p>The recent use of next generation sequencing methods to investigate historical disease outbreaks has provided us with an unprecedented ability to address important and long-standing questions in epidemiology, pathogen evolution and human history. In this review, we present major findings that illustrate how microbial genomics has provided new insights into the nature and etiology of infectious diseases of historical importance, such as plague, tuberculosis, and leprosy. Sequenced isolates collected from archaeological remains also provide evidence for the timing of historical evolutionary events as well as geographic spread of these pathogens. Elucidating the genomic basis of virulence in historical diseases can provide relevant information on how we can effectively understand the emergence and re-emergence of infectious diseases today and in the future.</p>

1 **Trends**

2

3 • Important challenges to ancient genomic analyses include limited DNA sampling and  
4 methodological issues (DNA authentication, recovery, isolation, enrichment,  
5 sequencing, false positives).

6 • Genome sequencing of pathogens from historically notable disease outbreaks  
7 provides insight into the nature of long-term co-evolution of humans and pathogens.

8 • Microbial genomics can inform us of the origins and geographic spread of ancient  
9 diseases, which can be used to corroborate historical literature and archaeological  
10 evidence.

11 • Genomic data also provide information on the underlying causes of virulence and  
12 transmission of ancient pathogens, as well as relationship between historical and  
13 contemporary lineages.

1                    **Microbial Genomics of Ancient Plagues and Outbreaks**

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18 **Keywords:**

19 Genomics, genome, pathogen, plague, epidemic, ancient DNA

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24 **Abstract:**

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26 outbreaks has provided us with an unprecedented ability to address important and long-  
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28 we present major findings that illustrate how microbial genomics has provided new insights  
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30 tuberculosis, and leprosy. Sequenced isolates collected from archaeological remains also  
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34 emergence of infectious diseases today and in the future.

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## 47 **Genomics of Ancient Diseases: An Overview**

48 Disease outbreaks and epidemics have always been part of human history and civilization. At  
49 different periods of our history, communicable diseases have decimated large proportions of  
50 the human population, greatly altering the structure and dynamics of societies and  
51 devastating economies (Figure 1) [1,2]. Centuries ago, the spread of disease was believed to  
52 be due to a noxious property of the air, or miasma, originating from rotting organic matter.  
53 Only after major discoveries in microbiology, such as Louis Pasteur's work on puerperal  
54 fever and *Vibrio* and Robert Koch's work on anthrax in the 19th century, was the miasma  
55 theory finally discarded and microorganisms were finally recognized as agents of diseases  
56 [3,4]. Remarkable scientific advances in microbiology have greatly enhanced our ability to  
57 detect and identify pathogens, and in turn, implement more effective treatments and infection  
58 control.

59

60 More recently, pathogen genome sequencing has been used as an epidemiological tool to  
61 trace contemporary outbreaks, as demonstrated during the cholera outbreak in Haiti in 2010  
62 [5–7] and the Ebola epidemic in West Africa in 2014 [8–10]. Unsurprisingly, the vast  
63 majority of pathogen sequencing efforts have been focused on contemporary cases, due in  
64 large part to the increased difficulty of collecting and successfully sequencing historical  
65 pathogen genetic material, which degrades considerably over time. However, it has recently  
66 been demonstrated that this is indeed possible, and a number of studies have collected  
67 pathogen sequence data from ancient sources (Table 1). Previous studies of ancient  
68 epidemics have largely relied on historical and archaeological data alone, such as ancient  
69 texts, engraving, images and other relics as well as church records, wills and burial registers.

70 Such sources may often be inconclusive or ambiguous, and using them to support  
71 epidemiological hypotheses can be misleading. Genomic data can provide an additional  
72 source of information which can be considered alongside other evidence. For instance, the  
73 epidemiological dynamics of the medieval Black Death based on such records were  
74 consistent with a viral pathogen, spreading via aerosol or direct contact between persons [11].  
75 Genetic analyses later confirmed the bacterium *Yersinia pestis* as the etiological agent. With  
76 the application of genome sequencing, we are now able to contribute new perspectives to  
77 many long-held questions on the etiology of past infectious diseases and gain insights into  
78 the nature of human-pathogen interactions through time (Figure 2).

79

80 In this review, we highlight the logistical and analytical challenges in recovering and  
81 sequencing ancient DNA, before describing some of the major findings that illustrate how  
82 microbial genomics has revolutionized our ability to investigate the nature of infectious  
83 diseases of historical importance. We focus on *Y. pestis*, being the pathogen which has been  
84 most frequently collected, sequenced and studied in a historical context. We also consider  
85 those diseases that have caused a significant burden in terms of morbidity and mortality from  
86 antiquity to early 20<sup>th</sup> century, namely plague, tuberculosis, leprosy, influenza and cholera.  
87 We highlight the contributions of genomics to our understanding of the origins and  
88 emergence of historical outbreaks, transmission routes, and the genetic diversity of ancient  
89 pathogens and their relationship to contemporary strains (Box 1). We conclude with how  
90 microbial genomics can be used as an important component in understanding the etiology of  
91 ancient diseases, and findings should be viewed alongside archaeological and historical  
92 evidence.

93

94

95 **Challenges and Limitations to Ancient Pathogen Genomics**

96

97 There have been huge advances in next generation sequencing technology in the past 15-20  
98 years, and collecting genomic data from contemporary pathogen samples is now relatively  
99 quick, inexpensive and easy. While such advances have also facilitated the potential for  
100 sequencing ancient genomes, a number of additional challenges restrict the scale and  
101 feasibility of such data collection. While refinements in DNA sampling, recovery and  
102 sequencing methods continue to be improved upon (Box 1), it is important to consider  
103 sources of error and uncertainty when drawing conclusions.

104

105 With the notable exceptions of the 1918 Spanish flu virus [12], hepatitis B virus (HBV) [13]  
106 and HIV [14], almost all ancient pathogen genome studies are limited to DNA pathogens,  
107 since RNA is not typically expected to survive in the archaeological record [15]. Ancient  
108 DNA suffers from oxidative and hydrolytic damage and fragmentation into pieces typically  
109 shorter than 100 base pairs [16,17]. The most frequently observed damage artifact is  
110 deamination of cytosines to uracils, which tend to accumulate on the 3' ends of ancient DNA  
111 molecules [18]. Analysis of these characteristic ancient DNA damage patterns has become  
112 commonplace to ensure reliable results since contaminating molecules are unlikely to show  
113 these signatures [19]. Additionally, upon death, tissues are colonized by fungal and bacterial  
114 decomposers, thus greatly reducing the relative quantity of endogenous molecules and may  
115 contribute to false positives. Ancient DNA yields for the host (let alone target pathogens) are

116 often less than 1% of the total DNA content (e.g., [20]). These factors complicate DNA  
117 extraction, high-throughput sequencing library construction, DNA alignment and genome  
118 analysis. Novel protocols, such as improved silica-based ancient DNA extraction [16],  
119 single-stranded library construction [21], targeted nucleic acid capture (e.g. [22]) and partial  
120 uracil-DNA-glycosylase digestion [19], have been developed to maximize high-quality  
121 endogenous DNA yields. Ancient-DNA-specific pipelines, such as PALEOMIX [23] and  
122 EAGER [24], have also been designed to generate and analyze ancient genomic data.

123

124 Most pathogens do not leave diagnostic changes in bone and teeth, the most commonly  
125 preserved archaeological tissues [25]. Therefore, most studies have used material securely  
126 linked by historical records to known pathogens (e.g., [22,26]). Dental calculus is also a rich  
127 source for pathogens and the oral microbiome [27,28]. Identification of pathogens in  
128 archaeological specimens without *a priori* diagnoses is particularly difficult since the small  
129 quantities of target pathogen are difficult to distinguish from the contaminant background  
130 [29]. Analysis of appropriate negative controls (such as soil or uninfected individuals from  
131 similar archaeological contexts) is required to weed out false positives due to ubiquitous soil  
132 and laboratory contaminants, which are often closely related to pathogens of interest [29].

133 DNA capture using diagnostic pathogen arrays has been proposed to identify unknown  
134 pathogens [30], although the application of this technology remains limited. Pathogen  
135 capture approaches produce higher yields of pathogen nucleic acids compared to shotgun  
136 sequencing approaches (thereby improving genome sequencing coverage and experimental  
137 cost-effectiveness). However, capture assays are biased towards known variation and extant  
138 diversity (e.g., [31]). Additionally, short ancient DNA sequences complicate genome



139 assembly and analysis of evolutionary events such as genome rearrangements and gene  
140 duplications [32]. Furthermore, the possibility of mixed infections [33,34] compounds these  
141 analytical challenges.

142

143 Sampling remains a major limitation to making phylogenetic and transmission inferences,  
144 and this is particularly critical in ancient pathogens whereby sample collection is greatly  
145 hindered by the discovery and quality of archaeological remains. While phylogenetic  
146 methods provide a powerful framework to investigate evolutionary history, non-random  
147 sampling can disrupt inference of divergence times and tree structure considerably. Due to  
148 the numerous challenges associated with identifying and collecting ancient DNA, it is  
149 unlikely that sufficient samples can be collected to adequately represent the pathogen genetic  
150 diversity during historical outbreaks. Existing studies have necessarily been restricted to  
151 small numbers of often closely related samples (Table 1). While this does not impact many of  
152 the conclusions that may be drawn from examining the phylogenetic relationship between  
153 ancient and modern strains (i.e., whether extant strains are directly descended from historical  
154 lineages or the relative genomic changes between different outbreaks), the ascertainment of  
155 divergence times and the relationship between more closely related outbreaks (spatially  
156 and/or temporally) remains highly uncertain without a larger and representative sample.

157

158

## 159 **Ancient Origins and Geographic Spread: the Case of the *Yersinia* Plague**

160 *Overview of the three Yersinia Plague Pandemics*

161 As the most widely collected and sequenced ancient pathogen, *Y. pestis*, the causative agent  
162 of plague, illustrates most clearly the potential for ancient pathogen genomics to shed light  
163 on historical epidemiological and evolutionary dynamics. In this section, we describe some  
164 of the studies which have utilized genomic data to test hypotheses about the devastating  
165 spread of *Y. pestis* worldwide.

166

167 *Y. pestis* is a Gram-negative bacterium that can be transmitted from rodents to humans. In  
168 humans, it can cause bubonic, septicemic and pneumonic diseases, which are highly lethal  
169 without treatment with antibiotics. From historical records, it is known that at least three *Y.*  
170 *pestis* pandemics swept through large regions of the globe in the past 1,500 years. The first  
171 pandemic, also known as the Plague of Justinian, first occurred in Egypt and spread north to  
172 Constantinople in 541-543, the eastern capital of the Roman Empire, and neighboring regions.  
173 Across Europe and the Mediterranean, local outbreaks and dissemination occurred until the  
174 8<sup>th</sup> century [35–37]. The second pandemic, widely known as the Black Death or the Great  
175 Pestilence, occurred in 1346-1352 and reduced the population of Europe by as much as 30  
176 million, with resurgences of plague until the 18<sup>th</sup> century [38,39]. The third pandemic is  
177 believed to have begun in southwestern China in the 1860s, and its spread to other countries  
178 was accelerated through the use of steamships, railways and the movement of military troops  
179 [40,41]. While archaeological remains recovered over many regions in Europe and Asia have  
180 allowed researchers to make significant strides in understanding the human and social  
181 impacts of *Y. pestis*, the availability of genomic data has significantly enhanced our  
182 knowledge of its origins and evolutionary history.

183

184 *Phylogenetic Relationships of the Yersinia Plagues*

185 The origins of the three great *Y. pestis* plagues and the reason for such high levels of  
186 mortality in the past have long remained unclear. Also uncertain was whether all three  
187 pandemic strains arose from the same ancestral lineage or whether each had independently  
188 emerged from distinct host reservoirs. While this ambiguity and other questions remain  
189 unanswered, such as the genetic properties of *Y. pestis* from animal reservoirs in historical  
190 times, phylogenetic analyses of epidemic-associated *Y. pestis* have now begun to shed light  
191 on how the three plague epidemics are related to each other.

192

193 Strains associated with the first pandemic (the Justinian Plague) collected from two victims  
194 buried in a German medieval cemetery, appear on a novel branch that is phylogenetically  
195 distinct from strains from the second and third plague pandemics (Figure 3) [37]. The branch  
196 has no known contemporary descendants, suggesting that it is either extinct or unsampled in  
197 rodent reservoirs [37]. In addition, these Justinian samples were interleaved between two  
198 extant groups identified in long-term plague foci in China, which is consistent with the  
199 hypothesis that the first pandemic emerged from rodents in Asia and later spread east to  
200 Europe [35].

201

202 The most infamous of the plague pandemics was the second pandemic in the mid-14<sup>th</sup>  
203 century. Plague persisted in Europe for the next 400 years, and several genetic variants of the  
204 second pandemic lineage appear to have continuously emerged and occurred simultaneously  
205 in multiple countries during later outbreaks [42]. Comparison of bacterial samples from  
206 plague victims in Marseille during the last major European outbreak in the 18<sup>th</sup> century with

207 both extant and other historical strains revealed that the Marseille lineage is most closely  
208 related to the 14<sup>th</sup> century plague strains. Cui and colleagues' findings also support this,  
209 showing a phylogeny characterized by the emergence of several lineages within a relatively  
210 short period of time at the beginning of the second pandemic [43]. To explain this pattern, the  
211 authors hypothesized that mutation rate varied across lineages, possibly due to the alternation  
212 of endemic and epidemic periods, i.e., epidemics result in replication cycles occurring more  
213 frequently and the accumulation of higher number of single nucleotide polymorphisms  
214 (SNPs) than enzootic phases of the bacterium [43]. Another possible scenario is that a *Y.*  
215 *pestis* strain responsible for the second pandemic became established in a historical,  
216 uncharacterized host reservoir and later evolved locally to sustain repeated outbreaks in  
217 Europe over four centuries [42].

218

### 219 *Routes of Yersinia Plague Dispersal in Europe*

220 The second pandemic lineage of *Y. pestis* appears to have been introduced into Europe from  
221 rodent plague foci in Asia on multiple occasions [44]. Phylogenomic analysis reveals that the  
222 most ancestral *Y. pestis* lineages may have likely originated in China or the former Soviet  
223 Union, with ten waves of transmission and subsequent radiation in Europe, South America,  
224 Africa and Southeast Asia occurring over many centuries [45]. While this is based on a  
225 limited number of genome samples, and the exact nature and number of intercontinental  
226 transmission events may become clearer with additional sampling efforts, this hypothesis is  
227 supported by climate data, which show evidence for repeated climate-driven reintroductions  
228 into Europe from Asian reservoirs [44]. In addition, phylogenomic analysis shows that the  
229 deepest branching lineages are those isolated near the ancient Silk and Tea-Horse trade

230 routes [43]. The strong geographical clustering of plague strains on the phylogenomic tree  
231 appears to parallel known routes of plague transmission and correspond with historical  
232 records, such as the timing of major historical maritime transport of humans and cargo, land  
233 trade routes and inter-continental expeditions [11,45], but further additional DNA sampling  
234 is needed to elucidate dispersal routes of ancient plague.

235

### 236 *Virulence of the Yersinia Plague*

237 It remains an intriguing question why plague has been particularly successful in Europe in  
238 the past. Through genome sequencing of ancient *Y. pestis* strains from infected humans in  
239 Bronze Age Eurasia (~5,800 years ago), it has been determined that the acquisition of the  
240 *Yersinia* murine toxin (*ymt*) was of much importance in the epidemiological history of plague,  
241 as this allowed for bacterial survival of *Y. pestis* in the flea vector, giving rise to the large  
242 scale pandemics observed in the past millennium [46]. Genome sequencing of the first plague  
243 pandemic strains also revealed the presence of non-synonymous SNPs in two virulence genes  
244 (*ail* that codes for an outside membrane protein and *yopJ* that codes for an effector protein),  
245 which may have contributed to the heightened mortality rate during the first pandemic [37].

246

247 Using DNA from dental pulp from Black Death victims exhumed from the East Smithfield  
248 burial ground in London, England, Bos and colleagues reported that contemporary strains  
249 comprising two main lineages of *Y. pestis* originate from the 14<sup>th</sup> century epidemic lineage  
250 [22]. Further comparison of the genomes of the reconstructed ancient strain and 18 modern  
251 strains reveal remarkably few genetic differences in virulence determinants between them  
252 over the last 660 years. The authors suggest that the pathogen's severity in medieval times

253 may not have been due to fixed mutations conferring a unique phenotype, but instead may  
254 have been caused by non-genetic factors such as climate, host susceptibility, vector dynamics  
255 and social conditions. These results were further confirmed by comparing the same ancient *Y.*  
256 *pestis* genome with SNP data from a global collection of 289 strains [47].

257

258 While studies of ancient plague samples have given insights into the geographical spread and  
259 potential drivers of its success, it is prudent to account for the effect of poor and biased  
260 sampling on phylogenetic inference. The lack of samples from a particular geographic area  
261 may underestimate or miss entirely its role in further propagating *Y. pestis*. In addition, the  
262 absence of archeological rodent samples could substantially affect the conclusions we make  
263 about the role of animal reservoirs in spreading the disease. Moving forward, it is expected  
264 that developments in sampling and recovery of ancient genetic material will allow further  
265 studies at the population level and on demographic processes.

266

267

### 268 **Discovery of Previously Unrecognized Animal Reservoirs**

269 The structure of a phylogenetic tree, particularly in the relationship between historical and  
270 extant strains, provides much information regarding the transmission and evolutionary  
271 dynamics of the pathogen. Location of particular strains within a tree can provide novel  
272 insights on the history of disease transmission and animal reservoirs, as has been shown in  
273 the history of *Mycobacterium tuberculosis* in the Americas. Tuberculosis became highly  
274 prevalent in Europe and North America in the 18<sup>th</sup>-19<sup>th</sup> century and then declined thereafter  
275 [1]. In South America, three 1000-year-old samples of *M. tuberculosis* from Peruvian

276 skeletons were sequenced and found to share a more recent common ancestor with pathogens  
277 collected from seals and sea lions than with contemporary tuberculosis strains from humans  
278 [33]. The most recent common ancestor (MRCA) was estimated to have occurred 4,000-  
279 5,000 years ago, providing evidence against introduction of tuberculosis to the Americas via  
280 early European contact or human migration across the Bering land bridge, and that the  
281 disease may have been introduced via exploitation of marine mammals on the Pacific coast  
282 [33]. This study demonstrates how genomic sequencing of ancient pathogens can generate  
283 new hypotheses to explain the epidemiological history of a pathogen, in this case the role of  
284 previously unrecognized animal reservoirs in disease transmission.

285

286

### 287 **Migration and Transmission of Ancient Pathogens**

288 Genomic diversity is particularly useful in distinguishing distinct bacterial lineages that  
289 existed in the past, which can provide insights into human migration and transmission. Such  
290 is the case for obligate pathogens such as *M. tuberculosis* [48] and *M. leprae* [49], which can  
291 persist in the human host for decades. Leprosy (caused by *Mycobacterium leprae*) was highly  
292 prevalent in Europe in the 12<sup>th</sup>-14<sup>th</sup> century, and spread to Africa and the Americas in the  
293 16<sup>th</sup>-17<sup>th</sup> century [1,49]. It is a chronic disease with potentially debilitating neurological  
294 consequences, and the resulting disfigurement of the face and hands has been accompanied  
295 by social stigma and exclusion in the past [1]. Comparison of genomic sequences of *M.*  
296 *leprae* has shown that this pathogen has undergone reductive evolution, in which the genome  
297 downsized and accumulated a large number of pseudogenes, or inactivated non-functional  
298 genes [49]. While this substantial gene decay is expected to give rise to substantial genetic

299 variability, analysis of SNPs and variable number tandem repeats (VNTRs) demonstrated  
300 only 807 polymorphic sites across all strains analyzed [31]. Despite very few genetic  
301 differences between strains, rare SNPs in the genome divided all extant isolates into five  
302 phylogenetic groups, each strongly associated with geographical origins. It was previously  
303 thought that type 3 strains, almost exclusively from Europe, disseminated from type 2 strains  
304 from Asia and the Middle East with human migration [49]. However, genome sequencing of  
305 additional archaeological samples from a medieval leprosy hospital in England showed that  
306 type 2 strains were possibly co-dominant or even predominant in Europe during the 11<sup>th</sup>  
307 century [50].

308

309 Not only do ancient pathogens provide insight into the presence of multiple lineages within a  
310 species, it also allows us to examine the various genotypes present in a single individual  
311 [34,51]. Using metagenomic approaches, Kay *et al.* found that five out of eight bodies  
312 recovered from 18<sup>th</sup> century Hungary yielded more than one *Mycobacterium tuberculosis*  
313 genotype [34]. This observation reflects historical and modern differences in tuberculosis  
314 epidemiology since multi-strain infections may have potentially been more common in  
315 Europe at time of peak tuberculosis compared to contemporary infections [34]. In addition,  
316 the same study provided the first evidence of a historical epidemiological link between  
317 infections present in two individuals. They found that the same *M. tuberculosis* genotypes in  
318 samples from both bodies belonged to a mother and her child, supporting either within-  
319 family transmission or infection from a common source [34]. Furthermore, varying  
320 proportions of the different genotypes found in the samples may suggest spatial heterogeneity  
321 in strain distribution [34]. These findings demonstrate that characterization of ancient



322 pathogen samples can also be useful in providing in-depth information about genetic  
323 diversity within a single host and potential transmission.

324

325

### 326 **Genomic Changes Over Time: Comparing Historical and Contemporary Lineages**

327 Comparative genomics of ancient and extant strains allows us to trace specific genetic  
328 changes that have occurred over time in pathogenic species and understand the evolutionary  
329 relationships of historical and contemporary lineages. Genetic changes through mutations or  
330 the horizontal acquisition of loci associated with virulence or transmission may be partially  
331 responsible for differences in the severity of diseases today and in the past. This information  
332 is also particularly relevant in quantifying the extent to which pathogen genetics may have  
333 been associated with devastating levels of mortality in the past, relative to other factors, such  
334 as host population and environmental dynamics.

335

336 Long-term tracing of genetic adaptation and accurate quantification of rates of evolutionary  
337 change are highly informative in understanding how a pathogen becomes more virulent or  
338 transmissible, and thus provide insights into how we can effectively manage future epidemics.

339 Genomic comparison of DNA from 11<sup>th</sup>-14<sup>th</sup> century skeletons of five individuals who died  
340 from leprosy in the United Kingdom, Denmark and Sweden with 11 modern strains of *M.*  
341 *leprae* from multiple leprosy-endemic regions indicates a remarkably high genomic  
342 conservation (only 755 SNPs and 57 <7bp-indels) during the last 1,000 years of its evolution  
343 [31]. In fact, a total of only 28 nucleotide changes differentiate a closely related pair of  
344 modern (from USA) and medieval (from UK) strains. These results are further confirmed by

345 the genome sequencing of two ancient *M. leprae* isolates from 10<sup>th</sup>-12<sup>th</sup> century England [50].  
346 Schuenemann and colleagues suggested that the severity of the disease in the past and its  
347 decline in the succeeding centuries might not have been due to changes in the virulence or  
348 transmission capacity of the pathogen, but rather may reflect the greater role of the host (such  
349 as immune response and improved infection control behavior) and the presence of other  
350 diseases in the past. In the case of leprosy, based on samples dating from the Roman period  
351 to the 13<sup>th</sup> century, it has been suggested that leprosy victims, already having a weakened  
352 immune system, are likely to be co-infected with opportunistic *M. tuberculosis* or have a  
353 resurgence of a latent tuberculosis infection [52]. Hence, co-infection may have contributed  
354 to increased mortality due to tuberculosis and consequently to the decline in leprosy in the  
355 population [52].

356

357 Fine-scale identification of the genomic changes occurring over a long period of time has  
358 also provided new insights into the evolution of the influenza virus. The 1918-1919 Spanish  
359 influenza pandemic, which caused around 50 million deaths worldwide [53], appeared to  
360 have rapidly spread in three distinct waves during that period in Europe, Asia and Americas  
361 [54]. However, it was unclear whether these were all caused by the same virus strain. A  
362 curious characteristic of the Spanish flu was that mortality peaked among healthy young  
363 adults (20-40 years old), in contrast to other outbreaks/seasons in which the elderly and  
364 young children are usually at greater risk [54]. The genome of the 1918 pandemic influenza  
365 virus was first characterized from a lung tissues of a victim from Alaska [55]. Identification  
366 of mutational changes within the H1N1 influenza lineage in 4,106 genome sequences from  
367 1918 (Spanish flu pandemic) to present indicate that most of the changes are non-adaptive

368 and appear to be degenerative [56]. It was estimated that H1N1 emerged in 1893 and by 1918,  
369 had already accumulated ~375 fixed mutations since it first appeared in the human  
370 population, while contemporary strains have diverged by as much as 15% from the 1918  
371 influenza genotype. The authors contend that the historical decline in H1N1 human mortality  
372 after 1918 may be best explained by natural viral attenuation through accumulation of  
373 degenerative mutations [56]. However, the role of reassortment between strains from  
374 different hosts - such as the triple reassortment of lineages from human, bird and swine that  
375 gave rise to the 2009 pandemic lineage [57] - remains a crucial aspect of influenza evolution.  
376 Understanding further the history, timing and driving factors of genomic reassortment in  
377 influenza evolution will help explain the emergence of new epidemic lineages.

378

379 A total of six documented cholera pandemics occurred in the 19<sup>th</sup> century, with the first  
380 pandemic originating in the Indian subcontinent. The 1961-1975 cholera pandemic first  
381 appeared in Indonesia and subsequently spread worldwide. Genome sequencing of a bacterial  
382 isolate from a cholera patient of the 1849 Philadelphia, USA outbreak (second pandemic)  
383 revealed that it contains all major virulence regions and genomic islands found in the  
384 classical strain O395, one of the two subtypes of the pandemic-causing serogroup O1 [58].  
385 Phylogenetic analysis and temporal estimation with contemporary strains suggest that the  
386 first five cholera pandemics appear to have clonally reemerged and were already circulating  
387 in the human population and water sources centuries before the pandemic in the 19<sup>th</sup> century  
388 occurred [58].

389

390 Other studies that compare genomes collected from historical and extant isolates have been  
391 insightful. Genome reconstruction of *Brucella* from a 14<sup>th</sup> century skeleton in Italy show  
392 close phylogenetic relatedness to modern-day isolates in the country, suggesting infection of  
393 *B. melitensis* from livestock has continuously occurred in the region over many centuries [59].  
394 The genome of *Helicobacter pylori* isolated from a 5,300-year-old mummy is genetically  
395 distinct from most strains common in modern Europe, with extant strains belonging to a  
396 recombinant hybrid of two strains related to those that circulate in India and North Africa  
397 [60]. Temporal analysis of the hepatitis B virus genome from a 16<sup>th</sup> century mummy in  
398 Korea and contemporary strains in East Asia suggests that the ancestral HBV dates back to  
399 ~3,000 years ago and was introduced into the country from Japan and/or China [13].

400

401 Along with stochastic evolution, pathogens are constantly adapting to multiple selective  
402 pressures imposed by the host and the environment. Over time, genomic signatures due to  
403 these changes are erased. Additional sampling during the intervening years, i.e., between  
404 epidemics, or from local outbreaks will further clarify the long-term rise and fall in the  
405 prevalence of a disease and provide clues to the pathogen's virulence and/or transmission.

406

407

#### 408 **Concluding Remarks and Future Directions**

409 While genome sequencing of DNA from ancient disease outbreaks promises to provide new  
410 insights into the nature of the co-evolution of a pathogen and its human host (see Outstanding  
411 Questions), its utility in the intersection of human history and microbiology remains in its  
412 infancy. The importance of historically documented burial grounds, artifacts and other relics

413 cannot be overestimated, as these can provide a more precise temporal constraint to  
414 substantiate findings from genomic studies. Ancient genomic data should be viewed as just  
415 one component of available information regarding historical outbreaks, and findings should  
416 be viewed alongside archaeological findings and historical records.

417

418 The relative contributions of environmental factors in past infections also remain to be  
419 precisely determined. Human migration, agriculture, climate change, overcrowding in cities,  
420 exploration of new continents, and animal domestication are some of the major factors that  
421 may have contributed to the emergence and spread of diseases in ancient history. Recently, it  
422 has been reported that tropical diseases carried by humans migrating out of Africa may have  
423 contributed to the decline of the Neanderthals [61]. Such enormous upheavals in the society  
424 and environment are likely to have important consequences on pathogen biology and a  
425 genomic signature may be left behind.

426

427 Understanding and interpreting historical events and dynamics usually requires examining  
428 several sources of historical as well as biological evidence, which may include microscopy,  
429 immune detection, serology and direct detection of microbial components [62,63]. One  
430 excellent example is the detection of cell wall lipid biomarkers to identify pathogenic  
431 mycobacteria from lesions in ancient human skeletons, which was used to infer the presence  
432 of human tuberculosis before agricultural domestication [63]. Most sources of evidence will  
433 neither conclusively support nor reject a given hypothesis. Genomic data is no different.  
434 Considerable uncertainty remains around historical epidemic dynamics inferred from  
435 genomic data, and it remains important to examine hypotheses in context with additional

436 archaeological and historical sources. This is particularly important because the causal agent  
437 of many ancient diseases remains uncertain. For example, it has been hypothesized that the  
438 English Sweat, which occurred in England in five major outbreaks between 1485-1551), and  
439 the Picardy Sweat, which caused regular outbreaks in 18<sup>th</sup>-19<sup>th</sup> century France, were caused  
440 by hantavirus infection based on similarities in disease symptoms and seasonality [64], but  
441 this remains uncertain. As the field of historical genomic epidemiology further develops and  
442 new samples can be incorporated into existing phylogenetic trees, new insights into ancient  
443 outbreaks will continue to emerge.

444

445 Ancient genomes provide a rich source of information about the long-term development of  
446 virulence and niche adaptation of a pathogen. This is particularly relevant today, when a  
447 diverse array of deadly microbes, such as SARS [65], Ebola virus [9], Zika virus [66] and  
448 *Elizabethkingia* (<http://www.cdc.gov/elizabethkingia/outbreaks/index.html> ), which  
449 previously have rarely caused illness in humans but have now emerged as important  
450 opportunistic pathogens in multiple countries. With these new threats, it is crucial that we  
451 utilize as much information in our toolbox as we can. The cyclic characteristics of some  
452 diseases means that what we consider as “new” outbreaks are most often the result of the  
453 varying patterns of disease circulation throughout our history; hence, the massive scale and  
454 significance of past outbreaks should be a constant reminder to what can happen in the future.  
455 Emerging outbreaks can be phylogenetically linked to previous and historical outbreaks  
456 where data are available, providing some context to the potential dynamics of the  
457 contemporary outbreak. Ancient genomes and the long-term dynamics of epidemics, together  
458 with the interactions of climate, environment, vectors and hosts, can be used as input for

459 modeling the potential of today's pathogens to become equally successful in the scale of past  
460 pandemics. As we continue to develop strategies (such as vaccine development,  
461 antimicrobial usage, diagnostics, surveillance and response, global communication, and  
462 availability of data) to manage emerging threats in the 21<sup>st</sup> century and beyond, we can look  
463 back at how ancient pathogens have evolved and adapted throughout the history of  
464 humankind, how they have influenced the social structure, values and institutions in the past,  
465 and how we can use this information to prepare for future encounters with epidemic diseases.

466

467

468 **Text Box**

469

#### 470 **Box 1. Recovery and Analysis of Ancient Genomes: Brief Overview**

##### 471 *Sample Collection*

472 Source material is usually obtained from bone, dental pulp, coprolites (faeces) and  
473 mummified tissues of human remains. While some diseases leave skeletal deformities, such  
474 as tuberculosis, which can be identified via tuberculous lesions in skeletal remains, most do  
475 not. In the case of syphilis, such evidence can be ambiguous, since other treponemal diseases  
476 such as yaws and bejel may also present similar skeletal lesions [67], contributing to the  
477 difficulty in resolving the origins of venereal syphilis in Renaissance Europe [68,69].

478 Another important consideration is temporal calibration of burial grounds and other  
479 archaeological sites, including mass graves, in order to date the samples collected. This could  
480 be done through retrieval from written record (e.g., death registers) or radiocarbon dating of  
481 ancient corpses, inscriptions and archaeological specimens (e.g., textiles, coin, coffin,

482 jewelry) [70]. For an excellent discussion of the various techniques used in sampling,  
483 verification, microscopy, serological methods, immunodetection, molecular and genomic  
484 analyses of ancient pathogens, see the review by [70].

485

#### 486 *DNA/RNA Recovery and Sequencing*

487 After decontamination procedures, extracted DNA is converted to DNA libraries for genome  
488 sequencing. In most cases, no fragmentation step or size selection after end repair is carried  
489 out due to the degraded nature and the miniscule proportions of ancient DNA. Some  
490 laboratories use an unbiased metagenomic shotgun sequencing method approach (e.g., [59])  
491 to seek out pathogen DNA rather than targeted amplification or capture of the DNA of  
492 interest (e.g., [71]). Genomic sequences are then pre-processed (e.g., adapter clipping, quality  
493 trimming) and assembled by mapping them to a reference genome, usually a modern-day  
494 strain. Multiple sequences are then aligned and variable positions identified.

495

#### 496 *Phylogenetic and Temporal Analysis*

497 Phylogenetic relationships can be inferred using various tree-building methods. Maximum  
498 likelihood methods, such as RAxML [72], assume independence between all sites in the  
499 alignment and are commonly used to infer phylogenies from samples of bacterial genomes. A  
500 topology is sampled and the likelihood of the data given the fit to the proposed topology and  
501 nucleotide substitution model is calculated. The process is iterated and the topology with the  
502 highest likelihood is selected. Establishing the timing of internal phylogenetic tree nodes  
503 provides evidence for when distinct clades diverged, or when important mutation or gene  
504 acquisition events occurred. A common approach is to use BEAST, a software tool which



505 implements a Bayesian Markov chain Monte Carlo approach to provide posterior estimates  
506 of key evolutionary and tree structure parameters [73]. Given an evolutionary and  
507 demographic model, the algorithm samples across tree space, providing the distribution for  
508 the timing of each internal tree node.

509

510

## 511 **Figure Legends**

512

### 513 **Figure 1. Overview and Timeline of Historically Notable Disease Outbreaks in Human** 514 **History**

515 Colored dots represent different outbreaks and epidemics. Black dots indicate disease  
516 outbreaks of unresolved origins [1,74–82]. The origin of syphilis remains contentious, with  
517 two hypotheses put forward to explain the epidemic in Europe in the 12-14<sup>th</sup> century  
518 [1,68,69,83]. Not shown are seven Bronze Age (~3,000 BC) *Yersinia* plague strains [46].  
519 Location of dots represents approximate time and should not be taken as precise estimates of  
520 the time of occurrence of the disease.

521

### 522 **Figure 2. Overview of Microbial Genomics of Ancient Pathogens**

523 Studying ancient pathogens can be a valuable tool in answering many historical and  
524 biological questions. These include what could have caused the high mortality of past  
525 diseases, how they spread across continents, how did vectors and host reservoirs contribute to  
526 their virulence and transmission, and the origins and diversity of pathogens in the past. For a

527 more detailed explanation of the methods used in ancient pathogen genomics, we refer the  
528 reader to an excellent review by Drancourt and Raoult [70].

529

### 530 **Figure 3. Phylogenetic Relationship of *Y. pestis***

531 The three *Yersinia* plague pandemics (colored branches) are shown with contemporary  
532 *Yersinia* lineages (black branches). The map shows the approximate locations from where the  
533 pandemic samples were collected. *Yersinia pseudotuberculosis* was used as outgroup.  
534 Locations are abbreviated as CHN (China), FSU (Former Soviet Union), GEO (Georgia),  
535 AFR (Africa), MNG (Mongolia), NPL (Nepal), and IRN (Iran). Adapted with permission  
536 from [42].

537

538

### 539 **Table Legend**

540 Table 1. Genomes of pathogens collected from archaeological remains sequenced to date

541

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- 721

1 **Outstanding Questions**

2

3 • How might we utilize technological advances in sequencing technology to improve  
4 the quality and feasibility of sequencing ancient pathogens?

5 • What genomic and ecological factors could have driven the emergence of the seven  
6 cholera pandemics, and how is each pandemic lineage related to one another?

7 • Are there other animal reservoirs that may have existed in the past and contributed to  
8 the geographic spread of ancient plague and other zoonotic diseases?

9 • How did the population structure and dynamics of ancient leprosy and tuberculosis  
10 change over the course of the pandemic (initial outbreak, decline and/or resurgence)  
11 and across different geographical areas?

12

Figure 1

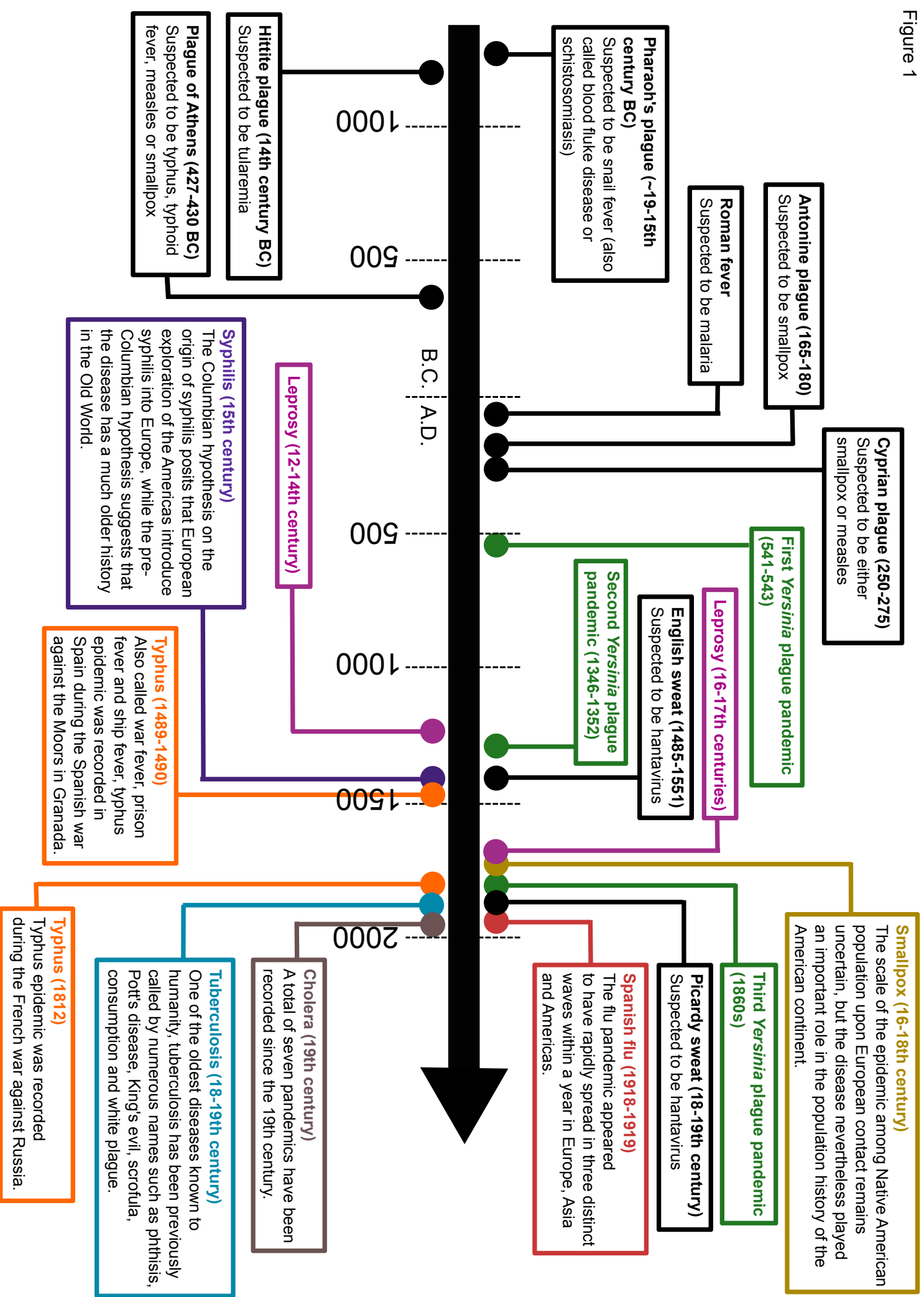


Figure 2

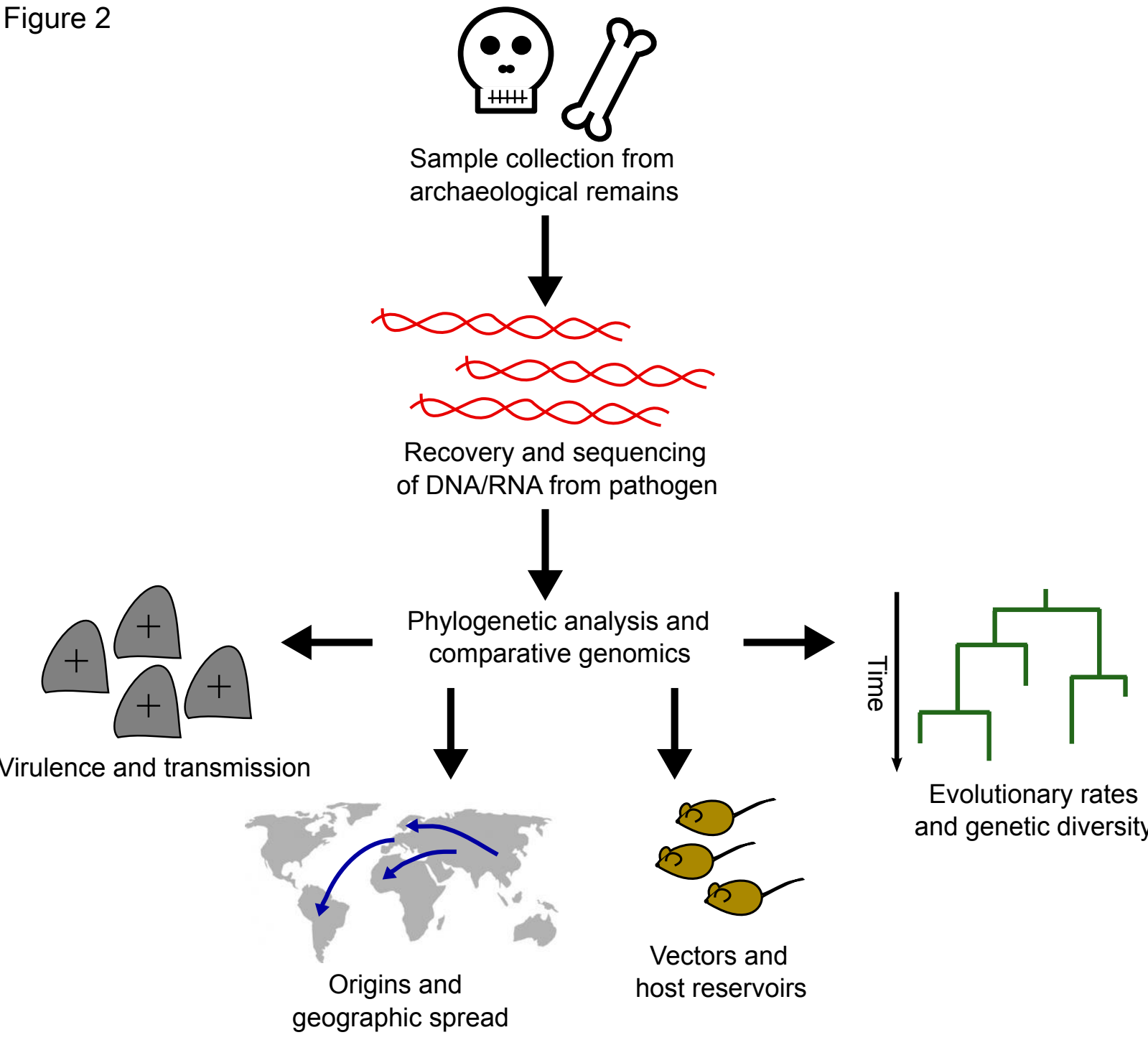


Figure 3 Outgroup

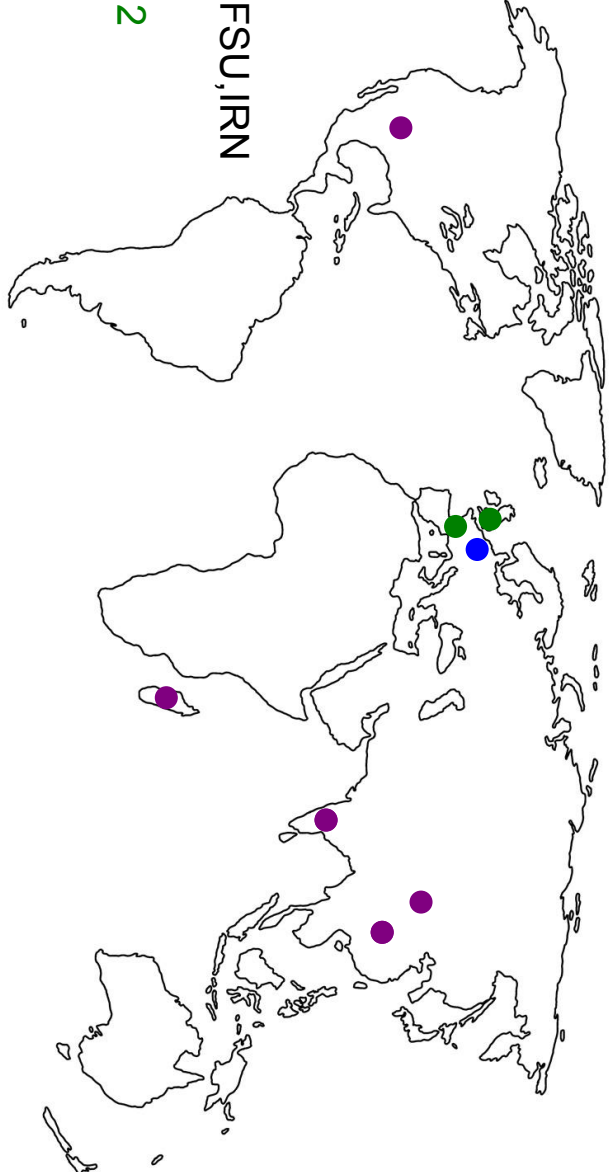
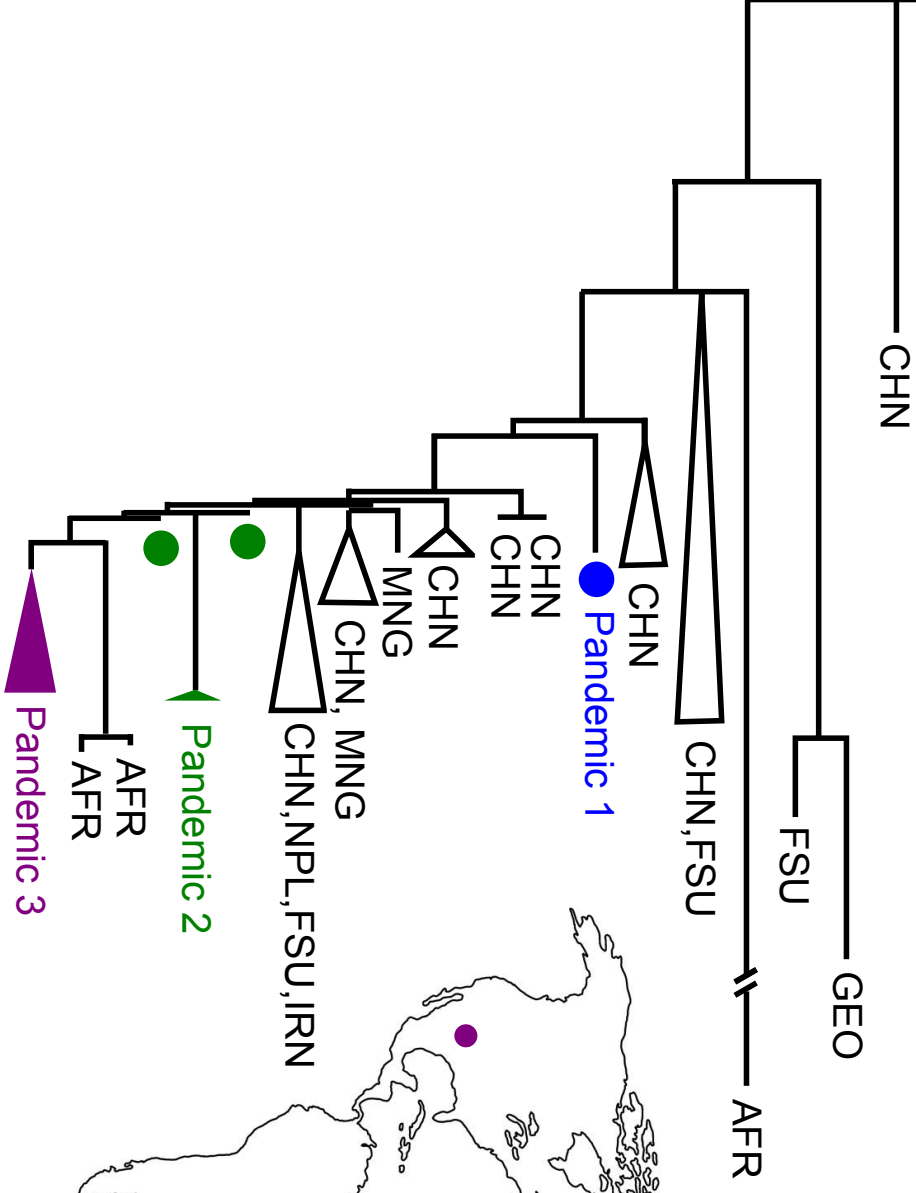


Table 1. Genomes of pathogens collected from archaeological remains sequenced to date

<b>Pathogen</b>	<b>Number of sequenced genomes</b>	<b>Reference</b>
<i>Brucella melitensis</i>	1	[59]
<i>Helicobacter pylori</i>	1	[60]
<i>Mycobacterium leprae</i>	7	[27, 28]
<i>Mycobacterium tuberculosis</i>	18	[25, 29, 49]
<i>Vibrio cholerae</i>	1 (Second pandemic)	[37]
<i>Yersinia pestis</i>	7 (Bronze Age)	[22]
	2 (First pandemic)	[12]
	7 (Second pandemic)	[17, 23]
Influenza virus (Spanish flu)	1	[34]
Hepatitis B virus	4	[13]