Clinical and microbiological characteristics and occurrence of *Klebsiella pneumoniae* infection in Japan

Purpose: *Klebsiella pneumoniae* is a pathogen that causes pneumonia and urinary tract infection. Hypervirulent *K. pneumoniae* strains often show hypermucoviscosity, are of the K1 or K2 serotype, and harbor the *rmpA* and *magA* genes. However, the differences in the prevalence of *K. pneumoniae* with these hypervirulent characteristics between the infection and colonization status are not well understood. Therefore, in this study, we compared the clinical and microbiological characteristics of *K. pneumoniae* isolated from urine or sputum samples of cases of infection and colonization.

Patients and methods: This retrospective study was conducted at a tertiary care teaching hospital in Tokyo, Japan. Patients whose sputum or urine tested positive for the presence of *K. pneumoniae* isolates were randomly included in the study. Clinical and microbiological data were collected from medical records.

Results: Of the 130 cases investigated, 68 and 62 cases showed the presence of *K. pneumoniae* in the sputum and urine, respectively. There were 49 infection cases, including 21 in the sputum group and 28 in the urine group. The infections were not accompanied by liver abscess. Of the 130 *K. pneumoniae* isolates, 25 (19.2%) showed capsular serotype K1 or K2, whereas 33 (25.4%) showed hypermucoviscosity. The prevalence of virulence genes *magA*, *allS*, *rmpA*, *mrkD*, *uge*, *kgu-BC*, and *wabG* was 10% (all in K1), 13.1%, 16.9%, 85.4%, 79.2%, 36.9%, and 91.5%, respectively. In both the sputum and urine groups, there was no difference in the characteristics of patients with infection and those with colonization. Analysis of microbiological characteristics revealed that only *rmpA* was significantly more frequent in the infection cases than in the colonization/asymptomatic cases in both the sputum and urine groups.

Conclusion: The *rmpA*-positive *K. pneumoniae* isolates were dominant in the infection cases compared with those in the colonization/asymptomatic cases, suggesting that *rmpA* may play a crucial role in the development of urinary tract infection and pneumonia.

Keywords: *Klebsiella pneumoniae*, hypermucoviscosity, *rmpA*, capsular polysaccharide serotype, infection, colonization, pneumonia, urinary tract infection

Introduction

*Klebsiella pneumoniae* is the infectious agent in various diseases, such as bacteremia, meningitis, pneumonia, and urinary tract infection (UTI). A hypervirulent variant of *K. pneumoniae* that causes severe liver abscesses and bacteremia emerged in the 1980s, which shows the main characteristics of hypermucoviscosity and tendency to cause severe community-acquired infection. This variant was initially mainly reported in Asian countries such as Taiwan and South Korea, but has now spread to countries...
outside Asia. This new variant often harbors the K1 or K2 capsular polysaccharide.

In addition to the K1 or K2 capsular polysaccharide and the hyperviscous phenotype, several genes have been reported as severity determinants, including magA and rmpA, based on studies comparing cases with severe infection to those with localized infection, and in murine lethality experiments. The magA gene, which encodes a polymerase involved in capsule synthesis, first emerged as one of the candidate virulence genes, but is now recognized as a K1 surrogate marker. Moreover, rmpA, which regulates capsular polysaccharide synthesis, was shown to be responsible for virulence in clinical studies and in murine models. The kfu gene, which mediates the uptake of ferric iron, and allS, encoding the activator of the allantoin regulon, were also considered as virulence factors in a murine intraperitoneal challenge model.

Other reported virulence factors of K. pneumoniae include the wabG gene, which plays a role in formation of the outer core lipopolysaccharide, and the uge gene, which encodes a uridine diphosphate galacturonate 4-epimerase and is required for biosynthesis of the capsule and smooth lipopolysaccharide. However, the prevalence of these genes did not significantly differ between UTI cases and cases without infection. The mrkD gene, which encodes type 3 fimbrial adhesion protein, was reported as a factor related to biofilm formation, but its influence on virulence in a clinical setting remains unclear.

Thus, the factors that cause severe infections, such as bacteremia and liver abscess, have been widely investigated both in clinical studies and in animal models. Moreover, some epidemiological studies of hypervirulent K. pneumoniae strains causing other types of infections, such as pneumonia and UTI, have also been reported. Furthermore, some of the virulence factors of K. pneumoniae pneumonia associated with bacteremia in Japan were identified. Despite this recent focus on the virulence factors underlying severe bacterial infection and their relationship with infection severity, the difference in the prevalence of the hypervirulent K. pneumoniae strains and other strains and the characteristics between infection and colonization/asymptomatic status are still poorly understood.

Therefore, we performed a retrospective study to investigate the prevalence of the hyperviscous phenotype and virulent K. pneumoniae strains in a tertiary care teaching hospital in Japan and to determine the differences in infection status with respect to patient background and microbiological characteristics. This study can contribute to gaining a deeper understanding of the epidemiology of virulent K. pneumoniae strains and the virulence factors involved in the development of K. pneumoniae infection.

Patients and methods
Patients and setting
This retrospective study was conducted at the University of Tokyo Hospital, a 1,217-bed tertiary care teaching hospital in Tokyo, Japan. We randomly selected 130 patients among those who tested positive for the presence of K. pneumoniae isolates in their sputum or urine from January 2011 to November 2012. One isolate from the sputum or urine was included from each patient. Patient data, clinical symptoms, and microbiological data were retrieved from the medical records.

Data collection and definitions
Collected patient data included age, sex, underlying disease (diabetes mellitus, malignancy, neutropenia, collagen disease, cirrhosis, chronic kidney disease, and chronic pulmonary disease), and use of immunosuppressant. The presence of intravascular catheters, including peripheral vessel catheters, central venous catheters, and arterial vessel catheters, as well as urinary catheters was reviewed. History of residence in a nursing home and antibiotic use within a month were also reviewed. The samples obtained within 48 hours after admission were defined as community isolates; the other samples were defined as hospital isolates.

The cases were divided into infection and colonization cases. Infection was defined depending on the type of sample that showed the presence of K. pneumoniae; ie, pneumonia in cases from whom sputum was obtained and UTI in cases from whom urine was obtained. Definitions of these infections were compliant with the relevant guidelines. Pneumonia due to K. pneumoniae was defined as 1) manifestation of clinical symptoms such as fever (>37.5°C) and purulent sputum (assessed by Gram staining or appearance of sputum), 2) compatible radiological findings, and 3) dominant detection of K. pneumoniae in sputum culture. Pneumonia cases for which the samples did not meet all of these criteria were defined as colonization cases. UTI due to K. pneumoniae was defined as 1) manifestation of clinical symptoms such as fever (>37.5°C) and pain during urination, 2) positive leukocyte esterase test in urinary analysis, and 3) single or dominant detection of K. pneumoniae in urine culture. UTI cases for which the samples did not meet all of these criteria were defined as asymptomatic cases.
Microbiological procedures
All isolates were identified using the WalkAway system (Siemens, Berlin, Germany). Antimicrobial susceptibility was determined with the WalkAway system and the standard criteria of the Clinical and Laboratory Standards Institute guide M100-S27.29 The hypermucoviscosity of K. pneumoniae was assessed with the string test, in which a viscous string >5-mm long was considered positive.24,30 The capsular polysaccharide serotype (K1 and K2) was determined by polymerase chain reaction (PCR) for serotype-specific targets within the K1 and K2 cps clusters, as described previously.31 To detect virulence-associated genes, such as magA, allS, rmpA, mrkD, uge, kfu-BC, and wabG, the genomic DNA of K. pneumoniae was extracted and PCR was performed with the specific primers, according to a previous report.32

Statistical analyses
Categorical data were analyzed using the two-tailed Fisher’s exact test and nonparametric data were analyzed using the Mann–Whitney U-test. Differences with p<0.05 were considered significant. All statistical analyses were performed using JMP Pro version 11 software (SAS Institute, Cary, NC, USA).

Ethical considerations
This study was approved by the research ethics committee of the University of Tokyo Hospital. The requirement to obtain written informed consent from each patient was waived because this was an observational retrospective study. The data were analyzed anonymously.

Results
Clinical characteristics of patients
During the study period, 12,467 urine and 4,773 sputum samples were submitted to the clinical laboratory. Among these, 4,093 urine and 1,989 sputum samples were positive for bacteria or fungi. K. pneumoniae was detected in the sputum of 322 cases and in the urine of 288 cases. We randomly enrolled 130 cases (68 in the sputum group and 62 in the urine group) and divided them into infection cases and colonization/asymptomatic cases.

The sputum group comprised 21 pneumonia (infection) and 47 colonization cases. The patients’ characteristics in the infection and colonization groups were similar (Table 1). Two infection cases were complicated by bacteremia. No liver abscess accompanied pneumonia.

The urine group comprised 28 UTI (infection) and 34 asymptomatic cases, and the patients’ characteristics were similar between the two groups (Table 2). Bacteremia was present in four cases. No liver abscess was detected in any of the UTI cases.

Virulence genes and antimicrobial susceptibility of K. pneumoniae isolates
Of the 130 K. pneumoniae isolates, 25 (19.2%) exhibited capsular serotype K1 or K2 and 33 (25.4%) showed hypermucoviscosity. The prevalence of virulence-associated genes in the sputum and urine groups is shown in Tables 3

Table 1 Characteristics of patients in whom Klebsiella pneumoniae was isolated from the sputum

| Variables                  | Total n=68 | Infection cases n=21 | Colonization cases n=47 | p-value |
|----------------------------|------------|----------------------|-------------------------|---------|
| Age (mean, range)          | 69 (1–94)  | 66 (36–94)           | 72 (1–92)               | 0.474   |
| Sex (male/female)          | 49/19      | 17/4                 | 32/15                   | 0.384   |
| Hospital/community         | 41/27      | 11/10                | 30/17                   | 0.428   |
| Comorbidity                |            |                      |                         |         |
| Diabetes mellitus          | 19         | 6                    | 13                      | I       |
| Malignancy                 | 31         | 8                    | 23                      | 0.442   |
| Neutropenia                | 2          | 1                    | 1                       | 0.526   |
| Collagen disease           | 6          | 0                    | 6                       | 0.166   |
| Cirrhosis                  | 2          | 1                    | 1                       | 0.526   |
| Chronic kidney disease     | 12         | 2                    | 10                      | 0.317   |
| Chronic pulmonary disease  | 16         | 5                    | 11                      | I       |
| Immunosuppressant          | 8          | 1                    | 7                       | 0.419   |
| Intravascular device       | 38         | 12                   | 26                      | I       |
| Urinary catheter insertion | 14         | 4                    | 10                      | I       |
| Residence in nursing home  | 7          | 3                    | 4                       | 0.668   |
| Antibiotic use within a month | 21     | 5                    | 16                      | 0.571   |
In both the sputum and urine groups, the prevalence of \textit{rmpA} in the infection cases was significantly higher than that in the colonization/asymptomatic cases \((p=0.016\) in the sputum group and \(p=0.037\) in the urine group). Prevalence of the other genes did not differ significantly between the infection and colonization/asymptomatic cases in both the sputum and urine groups.

Of the 130 isolates, antimicrobial susceptibility data for one strain were missing. Except for this isolate, all of the isolates showed 100% sensitivity to ceftazidime, cefozopran, meropenem, gentamicin, and levofloxacin. No extended-spectrum beta-lactamase (ESBL)-producing strains were detected.

### Discussion

\textit{K. pneumoniae} is the etiological agent of pneumonia and UTI. Although the pathogenesis and virulence factors of \textit{K. pneumoniae} have been widely studied, the differences between infectious cases and colonization/asymptomatic cases are not well understood. Therefore, in this study, we compared the clinical and microbiological characteristics between infection cases and colonization cases in a tertiary care teaching hospital in Japan. We determined the prevalence of hypermucoviscosity, specific serotypes, and virulence genes in \textit{K. pneumoniae} isolated from the sputum and urine obtained from selected patients. We also showed

| Variables | Total \(n=62\) | Pneumonia cases \(n=21\) | Colonization cases \(n=47\) | \(p\)-value |
|-----------|--------------|-----------------|-----------------|------------|
| Serotype K1 or K2 | 16 (6) | 10 (6) | 10 (10) | 0.546 |
| K1 | 8 (2) | 6 (2) | 2 (6) | 0.240 |
| K2 | 8 (4) | 4 (4) | 4 (4) | 0.240 |
| Hypermucoviscosity | 24 (10) | 14 (10) | 10 (10) | 0.178 |

\textbf{Note:} \(a\) Statistically significant.

### Table 4 Bacterial characteristics of \textit{Klebsiella pneumoniae} isolated from urinary tract infection cases

| Variables | Total \(n=62\) | UTI cases \(n=28\) | Asymptomatic cases \(n=34\) | \(p\)-value |
|-----------|--------------|-----------------|-----------------|------------|
| Serotype K1 or K2 | 9 (6) | 6 (4) | 3 (5) | 0.277 |
| K1 | 6 (2) | 4 (2) | 2 (2) | 0.277 |
| K2 | 3 (3) | 2 (1) | 1 (0) | 0.585 |
| Hypermucoviscosity | 9 (4) | 5 (4) | 4 (5) | 0.585 |
| Virulence factor | | | | |
| magA | 6 (2) | 4 (2) | 3 (5) | 0.082 |
| mpsA | 4 (3) | 2 (3) | 1 (3) | 0.037 |
| aII5 | 9 (4) | 5 (4) | 4 (5) | 0.037 |
| mrkD | 59 (26) | 26 (16) | 33 (20) | 0.037 |
| uge | 48 (21) | 21 (14) | 27 (17) | 0.765 |
| kfu | 30 (16) | 16 (14) | 14 (14) | 0.765 |
| wabG | 59 (26) | 26 (16) | 33 (20) | 0.765 |

\textbf{Note:} \(a\) Statistically significant.

\textbf{Abbreviation:} UTI, urinary tract infection.
the significant dominance of \textit{rmpA} in infection cases in both the sputum and urine groups.

Diabetes mellitus has been reported as a risk factor for hypervirulent \textit{K. pneumoniae} infection.\textsuperscript{5,33} However, we did not find a difference in the prevalence of diabetes mellitus between the infection and colonization/asymptomatic cases.

The infection and colonization/asymptomatic groups showed a similar prevalence of serotypes and the hypermucoviscous phenotype; 25.4\% and 19.2\% of all isolates had the hypermucoviscous phenotype and the K1/K2 serotypes, respectively. Although the epidemiology of hypermucoviscous \textit{K. pneumoniae} in various types of infection in Japan is not clear, \textsuperscript{–}10\% of bacteremic \textit{K. pneumoniae} were reported to exhibit the hypermucoviscous phenotype\textsuperscript{14} and 18.3\% of \textit{K. pneumoniae} isolates causing pneumonia belonged to the K1 and K2 serotypes.\textsuperscript{26} In Taiwan, approximately half of the \textit{K. pneumoniae} isolates were found to belong to serotype K1/K2 in patients with community-acquired bacterial pneumonia\textsuperscript{25,35} and in nasopharynx carriers.\textsuperscript{35} In China, 33\% of the isolates from hospitalized patients were reported to be hypermucoviscous.\textsuperscript{36} Outside Asia, infection with serotype K1/K2 or hypermucoviscous \textit{K. pneumoniae} appears to be quite rare. In Europe, 1.1\% of 1090 isolates belonged to the K1-CC23 serotype in the UK,\textsuperscript{37} and 5.4\% of 878 isolates were hypermucoviscous, whereas 0.3\% were \textit{rmpA}-positive in Spain.\textsuperscript{38} In the USA, 6.3\% of the 64 isolates obtained from blood cultures were found to be \textit{rmpA}- or \textit{magA}-positive.\textsuperscript{39} These reports indicate that the prevalence of specific serotypes and the hypermucoviscous phenotype vary geographically.

Of the virulence genes investigated in the present study, \textit{rmpA} was significantly dominant in the infection cases. Indeed, the K1/K2 strains, previously known as virulent strains, were shown to be avirulent without \textit{rmpA} or the hypermucoviscous phenotype in a murine model.\textsuperscript{40} Among the non-K1/K2 strains, \textit{rmpA}-positive strains showed high virulence in murine lethality tests.\textsuperscript{41} Moreover, in Taiwan, 85.7\% and 87.0\% of non-K1/K2 isolates were found to be \textit{rmpA}-positive in cases of liver abscess and bacteremia, respectively.\textsuperscript{25,40} Although some \textit{rmpA}-positive isolates did not exhibit the hypermucoviscous phenotype, these isolates were more virulent than the \textit{rmpA}-negative and nonhypermucoviscous isolates.\textsuperscript{40} Lin et al\textsuperscript{22} reported that the prevalence of \textit{rmpA} was significantly higher in the urinary isolates of UTI cases than that in the fecal isolates obtained from healthy people in Taiwan.

The \textit{rmpA} gene regulates capsule polysaccharide biosynthesis.\textsuperscript{36} Three types of \textit{rmpA} genes have been reported to date: chromosomally located \textit{rmpA}, \textit{rmpA} on a plasmid, and \textit{rmpA}2 on a plasmid.\textsuperscript{24} Although the primers used in this study could only detect plasmid-mediated \textit{rmpA} and \textit{rmpA}2, the strains possessing chromosomally located \textit{rmpA} appear to be much less prevalent than those possessing plasmid-mediated \textit{rmpA}/\textit{A2}.\textsuperscript{24} Hypercapsule synthesis regulated by \textit{rmpA} contributes to preventing the phagocytosis and opsonophagocytosis of \textit{K. pneumoniae} by the host immune cells and inhibits complement-mediated lysis and opsonization.\textsuperscript{42,43} Thus, \textit{rmpA} regulation is associated with the escape of \textit{K. pneumoniae} from immune responses,\textsuperscript{44} indicating a potentially crucial role in the development of \textit{K. pneumoniae} infection. Although the prevalence of other reported virulence genes, such as \textit{magA}, \textit{alsR}, \textit{mrkD}, \textit{ugl}, \textit{kfu}, and \textit{wabG}, did not differ significantly between the infection and colonization groups, we cannot exclude the possibility that these genes might also have some effect in the development of \textit{K. pneumoniae} infection, especially since not all of the infection cases were associated with an \textit{rmpA}-positive strain.

No antimicrobial multiresistant strain was detected in our study. A previous study\textsuperscript{24} reported that hypermucoviscous strains are generally susceptible to antimicrobials except for ampicillin; however, ESBL-producing strains and carbapenem-resistant strains are emerging, especially in China.\textsuperscript{45,46} Although the prevalence rate of ESBL-producing \textit{K. pneumoniae} is still low in Japan,\textsuperscript{47} multi-antimicrobial resistance among hypermucoviscous \textit{K. pneumoniae} strains may become a future threat.

There are several limitations of this study. First, because this was a retrospective study, it is unknown whether the \textit{rmpA}-positive isolates in the colonization/asymptomatic group eventually caused infections. Second, this was a single-center analysis and the sputum and urine samples were randomly selected; therefore, not all the samples collected during this time period were analyzed. Thus, a multicenter study is warranted, especially considering that the prevalence of the hypervirulent variant differs from region to region.

**Conclusion**

In conclusion, the prevalence of hypermucoviscous \textit{K. pneumoniae} was found to be 25.4\%, and \textit{rmpA} was detected at significantly higher rates in the infection cases than in the colonization/asymptomatic cases in both the sputum and urine groups. The prevalence of serotypes and the hypermucoviscous phenotype is highly variable across studies according to the geographical region. Nevertheless, our study suggests that the \textit{rmpA} gene may play a crucial role in the development of UTI and pneumonia.
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Disclosure
The authors report no conflicts of interest in this work.

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