

Biofilm Neutrophils Interactions Under Hypoxia: A Mathematical Modeling Study

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Abstract

Neutrophils are important to the defense of the host against bacterial infection. Pathogens and the immune system cells create via respiration, a hypoxic environment in infected regions. Hypoxic conditions affect both the neutrophil's ability to eradicate the infection and also change the behavior of the bacterial-pathogens by eliciting the production of various virulence factors, the creation of bacterial biofilm and the initialization of anaerobic metabolism. In this work interactions of bacterial biofilm and neutrophils are studied in a domain where oxygen is diffusing into the environment and is being consumed by biofilm. Within a hypoxic environment, bacteria grow anaerobically and secrete higher levels of toxin that diffuses and lyses neutrophils. A mathematical model explicitly representing the biofilm volume fraction, oxygen, and diffusive virulence factors (toxin) as well as killing of bacteria by neutrophils is developed and studied first in 1D and then in 2D. Stability analysis and numerical simulations showing the effects of oxygen and toxin concentration on neutrophil-bacteria interactions are presented to identify different possible scenarios that can lead to elimination of the infection or its persistence as a chronic infection. Specifically, when bacteria are allowed to utilize anaerobic breathing and or to produce toxin, their fitness is enhanced against neutrophils attacks. A possible insight on how

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virulent bacterial colonies can synergistically resist neutrophils and survive is presented.

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1. Introduction

2 Bacterial biofilms are clusters of bacteria that stick to surfaces, multiply,
3 and are encased in a matrix of extracellular polymers produced by either the
4 microorganism or the defensive mechanisms of the host [1, 2]. Biofilms are very
5 difficult to treat, because they are resistant to antimicrobials and also shield
6 themselves from external threats and impede the ability of host immune cells to
7 eradicate them. More than 60% of bacterial infections in humans are thought
8 to be biofilm-related [3].

9 The most common immune cells in fighting infections are neutrophils which
10 utilize phagocytosis, degranulation, and formation of neutrophil extracellular
11 traps (NETs) to fight bacterial pathogens [4]. Microorganisms, on the other
12 hand, utilize various strategies to evade clearance by neutrophils [5]. Strategies,
13 include anaerobic metabolism, which allows the microorganisms to continue
14 growing and being metabolically active in the absence of oxygen [6], production
15 of various toxins that lyse the immune cells [7] and physical exclusion of immune
16 cells by the biofilm matrix. The mechanisms and dynamics of the interaction
17 between neutrophil and biofilm are complex and multifactorial.

18 There is a significant interest in the study of the interaction between bacteria
19 and immune cells like neutrophils under hypoxia, and the understanding of
20 the underlying mechanisms could lead to the creation of novel therapies. We
21 are motivated and guided by recent experimental and review work [8, 9, 10,
22 11, 12, 13]. There is a lot of uncertainty in the mechanisms governing the
23 interaction of the immune cells and biofilm under hypoxia, with some even
24 contradictory experimental results [8]. The effects of hypoxia in this setting are
poorly understood (see [8]-figure 3A). We strive to provide some insight to the

26 complicated interactions using a modeling approach to investigate the potential
27 contributions of hypoxia [14] to the biofilm defense against neutrophil attack.
28 For this purpose we construct a spatial fully continuum phenomenological model
29 that describes the evolution of biofilm volume fraction as a result of biofilm
30 growth and elimination by neutrophils. We lump all neutrophil's actions against
31 biofilm into the term "phagocytosis".

32 For our mathematical model we make the following modeling assumptions.
33 We assume that biofilm density (or volume fraction) is growing, and microbial
34 biofilm has little or no motility or diffusion. Also we assume that there is an
35 abundance of neutrophils distributed everywhere in our domain, which we only
36 model their effects without explicitly model their population density, for sim-
37 plicity. In our model we allow for biofilm growth by both aerobic and anaerobic
38 metabolism. Oxygen diffuses into the domain and is being absorbed by the
39 bacterial biofilm by a reaction diffusion mechanism. Biofilm is assumed to grow
40 logistically with aerobic growth that follows Monod kinetics [15]. In the case
41 where aerobic growth is relatively small due to low oxygen concentration, first
42 order kinetics simulating anaerobic growth are employed. We incorporate into
43 our model the adverse effect that hypoxia has on neutrophil phagocytosis [8], by
44 limiting appropriately the effectiveness of neutrophil phagocytosis on biofilm,
45 whenever oxygen level is low. We are also accounting for the fact that neutrophil
46 bacterial phagocytosis is diminished when biofilms form dense structures, that
47 is, when biomass volume fraction is high enough [5, 16, 17]. Our model incorpo-
48 rates some virulence factors that microbes employ to inhibit neutrophils such as
49 the production of toxin [7, 5, 8, 9, 10, 11, 12, 13]. Specifically, we lump together
50 all diffusing virulence factors in one variable which we refer to as "toxin". Toxin
51 production increases as oxygen levels decrease [18, 19, 20].

52 We analyze our model in one and two dimensions and provide insights as to
53 how the local oxygen concentration within the infection site, serves as a trigger
54 for biofilm virulent factors. This in combination with bacterial concentration
55 and spatial distribution/location, relative to the oxygen source within the infec-
56 tion site, are paramount for the ability of neutrophils to successfully deal with

the infection.

58 The paper is organized as follows. In section 2, we introduce a mathematical
model and then analyze its behavior first by performing a local stability analysis
60 in a nonspatial setting. This gives us a first insight to the dynamics of the full
spatial model and various parameter regimes. In section 3 we proceed to analyze
62 the full model via simulation in one spatial dimension, identifying the model
components contributing to elimination or persistence of the biofilm infection.
64 Subsequently, in section 4 we simulate in two spatial dimensions and we propose
a scenario where virulent bacterial colonies survive synergistically. In section 5
66 we describe the numerical methods we use and finally in section 6 we finish with
concluding remarks.

68 2. Model Description

We consider a square infection region where blood vessels constantly trans-
70 port oxygen on one of its outer sides (“top”), and the oxygen diffuses into the
interior of the infected region. At the top, the blood vessels also sweep away any
72 diffusing toxin that reaches the top boundary away from the infected region.

We remark here that we consider microbes to be distributed inside a back-
74 ground matrix where new biofilm growth results in increased local biomass den-
sity rather than expansion of the structure. This is different from many biofilm
76 models, like in [21], where growth-driven pressure causes biofilm expansion and
deformation. Also we note that for the oxygen and toxin we suppose that the
78 domain is thin enough so that the time-scale for reaction-diffusion processes to
equilibrate is significantly shorter than the growth time scale. That is, we as-
80 sume quasi-equilibrium and for this reason we neglect the time derivative when
writing the reaction diffusion equations describing the evolution of toxin and
82 oxygen. This is a common assumption in many biofilm models [22].

We introduce the biofilm volume fraction $0 \leq \theta(x, z, t) \leq 1$ and let $c(x, z, t) \geq$
84 0 , $w(x, z, t) \geq 0$ be the oxygen and biofilm-produced toxin concentration respec-
tively, α is the phagocytosis coefficient, r the biofilm growth rate coefficient, D_c

86 and D_w are the diffusion coefficients of oxygen and toxin respectively which
 87 are assumed constant. Also d is the toxin degradation rate and $q(c)$ the toxin
 88 production which is heightened by lower c concentration [18, 19, 20], that is,
 $q(0) = 1$ and $q(c) \rightarrow 0$ as c increases, so a possible choice is $q(c) = 1 - c/(c + N_c)$.

With decreasing oxygen, the production of toxins w increases, further decreasing the phagocytosis efficiency of neutrophils [18] and this is modeled by $T(w) = 1 - w/(w + N_w)$. Phagocytosis by neutrophils becomes more efficient with increasing c [23] and less efficient with decreasing c [24, 5], i.e., $p(c)$ is chosen to be increasing such that $0 < p(0) = p_0 \ll 1$, $0 < p(0) \leq p(c) \leq 1$ and $p(c) \rightarrow 1$ as c is increasing. Phagocytosis becomes less efficient with increasing θ [5, 16, 17] and we assume reduced susceptibility of biofilm to neutrophil phagocytosis when the local cell density exceeds a threshold [25], i.e., $f(\theta)$ is chosen such that $f(0) = 1$ and $f(1) = \epsilon > 0$, where ϵ ‘small’. In absence of more evidence a logical choice for these functions is

$$p(c) = \frac{(1 - p_0)c}{(c + N)} + p_0 \quad \text{and} \quad f(\theta) = \begin{cases} 1, & \text{if } 0 \leq \theta < 0.5K_\theta \\ \epsilon, & \text{if } 0.5K_\theta \leq \theta, \end{cases} \quad (1)$$

where N is a nutrient half-saturation rate regarding phagocytosis. In simulations we smooth, f , as follows,

$$f(\theta) = 0.5(1 - \epsilon) \left(1 - \tanh \left(\frac{\theta - 0.5}{0.005} \right) \right) + \epsilon$$

90 and choose $\epsilon = 0.1$.

We consider a two dimensional domain $\Omega := \mathbb{R} \times [0, L]$ with Dirichlet, 92 $c(x, L) = u_L$, $w(x, L) = 0$, and no-flux, $\frac{dc}{dn}(x, 0) = 0$, $\frac{dw}{dn}(x, 0) = 0$, boundary conditions. The boundary condition $w(x, L) = 0$ is chosen to simulate the 94 scenario that the toxin is being swept away by blood flow on the top boundary. The biofilm initial condition is $\theta(x, z, 0) = \theta_0(x, z)$.

96 Considering all of the above we write the following system of equations

describing our model

$$\theta_t = Yr\hat{g}(c)h(\theta) - \alpha T(w)p(c)\theta f(\theta) := F(c, w, \theta), \quad (2)$$

$$0 = D_c \Delta c - r\theta g(c), \quad (3)$$

$$0 = D_w \Delta w + r_w q(c)\theta - dw. \quad (4)$$

Here $h(\theta) = \theta(1 - \theta/K_\theta)$ where $K_\theta = 1$ is used to model the biofilm limited growth, this choice prevents volume fraction from increasing beyond $\theta = 1$, oxygen uptake follows Monod kinetics, $g(c) = \left(\frac{c}{c+K}\right)$ and K is the substrate absorption half-saturation rate. We introduce anaerobic metabolism/growth in (2) by setting $\hat{g}(c)$ equal to a fixed value $g_{anaerobic}$ whenever $g(c)$ is smaller than $g_{anaerobic} > 0$,

$$\hat{g}(c) = \max(g(c), g_{anaerobic}), \quad (5)$$

98 where $g_{anaerobic} \ll 1$.

The focus of our model is the interaction between biofilm and the immune response due to neutrophils under hypoxia, without aiming to model in detail the complicated biofilm composition and biofilm-flow interaction as done in [26, 27]. 100 Using a relatively simpler biofilm representation, allows us to analyze first via stability analysis and then by numerical simulations, the complicated interactions 102 between pathogen(biofilm) and immune response (neutrophils) and better understand 104 their dynamical interplay. The important modeling work done in [28] studies the emergence 106 of a persister type due to toxin, omitting any immune response or anaerobic metabolism. The model proposed herein, is a significant 108 evolution of the models in [29, 30], where biofilm was interacting only with diffusing 110 oxygen. In [14] the authors incorporated neutrophil and biofilm only to study 112 oxygen depletion in a wound, but did not incorporate biofilm killing by neutrophils nor virulent factors like toxins or anaerobic metabolism and their various interactions, which in our model created a more dynamic environment between the two.

114 To the best of our knowledge, this is the only work that presents a mathematical model that combines all the following: neutrophil (mediated by biofilm

116 structure and oxygen amount) killing of biofilm, where biofilm is also allowed to
 118 perform anaerobic metabolism and to produce diffusing toxin that can lyse the
 neutrophil cells, in a dynamic environment all acting together. Our modeling
 framework could be extended and adapted to multiple biological scenarios.

120 *2.1. Dimensional Analysis*

122 In our model dimensional values for diffusion are measured in mm^2/min ,
 124 length L is in mm and time is in minutes (min). Oxygen diffusion $D_c \sim$
 126 $0.05 mm^2/min$ and oxygen reaction $r \sim 25 min^{-1}$ values are within the ranges
 128 reported in [31] and [14] respectively. The $\sqrt{D/r}$ ratio important for active
 130 layer for oxygen penetration, is the same used in [29]. For the value of the
 132 combined toxin diffusion $D_w = 0.006 mm^2/min$, we use the fact that toxin
 is a larger molecule than oxygen, thus we choose an order of magnitude value
 consistent with [31]-example 1. To observe the interdependency between the
 various model parameters, for the system we rewrite it in the following non-
 dimensional form although such process is not unique and the original system
 could be exactly in its original form with all its parameters scaled and non-
 dimensional. The system (2)-(4) can be rewritten as:

$$\begin{aligned} \bar{\theta}_\tau &= Y \max \left(\frac{\bar{c}}{\bar{c} + 0.5}, g_{anaerobic} \right) \bar{\theta}(1 - \bar{\theta}) \\ &\quad - \lambda \frac{\bar{\theta}}{\bar{w} + 0.5} \left[\frac{(1 - p_0)\bar{c}}{(\bar{c} + \mu)} + p_0 \right] \hat{f}(\bar{\theta}), \end{aligned} \quad (6)$$

$$0 = \bar{\Delta} \bar{c} - \beta \bar{\theta} \frac{\bar{c}}{\bar{c} + 0.5}, \quad (7)$$

$$0 = \bar{\Delta} \bar{w} + \delta \frac{\bar{\theta}}{\bar{c} + \gamma} - \eta \bar{w}. \quad (8)$$

where

$$\hat{f}(\bar{\theta}) = \begin{cases} 1, & \text{if } 0 \leq \bar{\theta} < 0.5 \\ \epsilon, & \text{if } 0.5 \leq \bar{\theta}. \end{cases}$$

134 The new variables and functions are $\bar{\theta} = \theta/K_\theta$, $\bar{c} = c/(2K)$, $\bar{w} = w/(2N_w)$,
 the independent variables are $\bar{x} = x/L$, $\bar{z} = z/L$ and $\tau = rt$. The non-
 dimensionalized parameters are $\lambda = \alpha/(2r)$, $\mu = N/(2K)$, $\beta = rK_\theta L^2/(D_c 2K)$,

¹³⁶ $\gamma = N_c/(2K)$, $\delta = r_w \gamma K_\theta L^2/(D_w 2N_w)$ and $\eta = dL^2/D_w$. From this analysis,
 we see that important parameters regulating the dynamics are Y , $g_{anaerobic}$, λ ,
¹³⁸ β and δ . Later in simulations we test our system for different values of $g_{anaerobic}$
 and δ the latter corresponding to the original r_w parameter, which are the ones
¹⁴⁰ regulating anaerobic metabolism and toxin production respectively. We choose
 to keep all other parameters to some fixed value.

¹⁴² *2.2. Nonspatial Stability Analysis*

Now we assume a non-spatial setting and consider (6) as a simple ordinary differential equation (ODE). In this way we strive to obtain some helpful insight about the dynamics of our system. This will allow us to have some theoretical understanding when interpreting the model's simulation results since at any given point in the domain the biofilm there would follow the ODE local dynamics. We drop the "bars" and "hats" for simplicity of notation from the dimensionless model (6)-(8), and assume fix position in the domain or a spatially independent setting, then we have for the biomass,

$$\theta_\tau = Yg(c)h(\theta(\tau)) - \lambda T(w)p(c)\theta f(\theta(\tau)). \quad (9)$$

Set $\bar{r} := Yg(c) > 0$ and $a := \lambda T(w)p(c) > 0$. So we have a two parameter space.

¹⁴⁴ Then for θ -equilibria we have

$$\bar{r}\theta(1 - \theta) = a\theta f(\theta) = \begin{cases} a\theta, & \text{if } 0 \leq \theta < 0.5 \\ \epsilon a\theta, & \text{if } 0.5 \leq \theta \leq 1. \end{cases} \quad (10)$$

Equilibria are θ -values satisfying the above equation or precisely where the
¹⁴⁶ growth curve $\bar{r}\theta(1 - \theta)$ and phagocytosis curve $a\theta f(\theta)$ intersect or where $\bar{r}\theta(1 - \theta) - a\theta f(\theta)$ changes sign (see Fig. 1). The importance of equilibrium values θ^*
¹⁴⁸ in our case is that if they are asymptotically stable then biofilm volume fraction
 values "close" to the equilibrium value will tend towards the equilibrium as time
¹⁵⁰ increases and if they are unstable will tend away from it. So this knowledge gives
 us some rudimentary insight into the evolution of biofilm assuming we know the
¹⁵² equilibria values *a priori*.

For all the different values of the bifurcation parameters a, \bar{r} the curves
154 “intersect” in different points corresponding to different equilibrium values. By
increasing gradually the value of the phagocytosis parameter α keeping \bar{r} fixed,
156 we generate all the possible different regimes which are the different panels
shown in figure 1. In each panel an equilibrium value θ^* , measured on the
158 horizontal axis, is asymptotically stable if the growth curve (red) is above the
phagocytosis curve (blue) for $\theta < \theta^*$ and if it is also below for $\theta > \theta^*$.

160 By observing the panels of figure 1 corresponding to equilibria for various
values of the bifurcation parameters a, \bar{r} , we can see that the only case that
162 we have multiple equilibria and $\theta^* \equiv 0$ is an asymptotically stable equilibrium
is when $a > 0.5\bar{r}$ and specifically when $a \geq \bar{r}$. We are interested in the case
164 where $\theta^* \equiv 0$ is asymptotically stable since this means that the biofilm is able
to be cleared by the neutrophils and this is more biologically relevant. When
166 $0.5\bar{r} < a < \bar{r}$ then $\theta^* \equiv 0$ is unstable and as $a \rightarrow \bar{r}$ we have that a positive
168 asymptotically stable equilibrium collides with the zero unstable equilibrium
(see Fig. 1c, 1d) and they “exchange” stability, thus we have a transcritical
bifurcation and $\theta^* \equiv 0$ becomes asymptotically stable.

170 The case $\bar{r} \leq a < 0.5\bar{r}/\epsilon$ is of interest to us since we observe the emergence
of an Allee effect, meaning there are three equilibria, with the middle, $\theta_2^* \equiv 0.5$
172 unstable and the other two $\theta_1^* \equiv 0$ and $0.5 < \theta_3^* < 1$ asymptotically stable. It is
interesting to study when this behavior also emerges locally by using the fully
174 spatial nonlinear model (6)-(8), since in this case if biofilm volume fraction is
between the first and the middle equilibrium then the infection gets cleared and
176 if it is above the middle then it persists. Finally, the case $a \geq 0.5\bar{r}/\epsilon$ corresponds
to one asymptotically stable trivial (zero) equilibrium and thus the infection is
178 always cleared.

3. Simulation Results in 1D

180 In this section we perform various simulations in order to understand the me-
chanics of our system and also shed some light on the interplay between biofilm

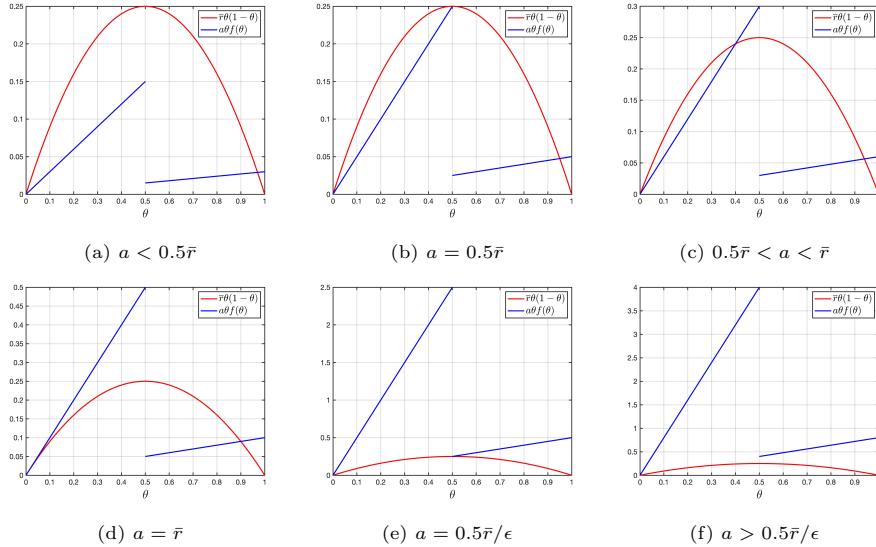


Figure 1: Nonspatial stability analysis cases. Intersection and jumps of the biofilm growth, $\bar{r}\theta(1 - \theta)$, and phagocytosis, $a\theta f(\theta)$, curves lead to equilibria. Panel 1a corresponds to a stable growth towards the carrying capacity asymptotically stable equilibrium, panel 1b is the critical case when transitioning to more than one nonzero equilibria. Panel 1c is for $0.5\bar{r} < a < \bar{r}$ (corresponding to four equilibria) and panel 1d depicts the critical case when $a = \bar{r}$ (corresponding to three equilibria–Allee Effect). Panel 1e is the critical case that leads to 1f corresponding global biofilm extinction. Figure parameters: $\bar{r} = 1$, $\epsilon = 0.1$.

182 and neutrophils in certain scenarios. We concentrate first on 1D spatial models
 183 to understand the mechanism of our system, incrementally adding features like
 184 anaerobic metabolism, toxin and finally combining them together. The dynam-
 185 ics are guided by non-dimensional parameter ratios thus scaled base parameters
 186 are chosen (see figure 2) so at the oxygen diffusing boundary, $z = L = 1$, our
 187 model follows the nonspatial dynamics of figure 1d (i.e., $\theta^* \equiv 0$ asymptotically
 188 stable). This is the biologically relevant scenario, since it allows even at the oxy-
 189 gen diffusive boundary, the possibility of clearance of the infection when biofilm
 190 volume fraction is sufficiently low.

3.1. Density-Dependent Protection

192 We investigate the 1D scenario closely related to the nonspatial scenario in
 193 figure 1d. We have for the specific region, $z_c \leq z \leq 1$ close to the oxygen
 194 diffusive boundary (at $z = 1$), that the system has three equilibrium solutions
 195 $u_1^*(z) \equiv 0$, $u_2^*(z) \equiv 0.5K_\theta$ and $0.5K_\theta < u_3^*(z) < K_\theta$ (we take $K_\theta = 1$). The
 196 values, $u_3^*(z)$, of the largest equilibrium, vary according to the oxygen and toxin
 197 level at $z > z_c$. We choose first to remove the effects of toxin and anaerobic
 198 metabolism and focus on just the interaction between biofilm and neutrophil
 199 effects in the presence of the diffusing oxygen.

200 In figure 2 we use initial uniform biofilm conditions to demonstrate the three
 201 equilibria close enough to the oxygen diffusive boundary. In the first row we
 202 have initial biofilm profile $\theta_0 = 0.45$, and we observe that the biofilm is grad-
 203 ually decreasing to zero, with different rates at each domain point, as time
 204 progresses. Observe (see figure 2b) that the biofilm follows two different dy-
 205 namics. It is cleared faster in the part of the domain closer to the boundary
 206 (which follows figure 1d) while at the same time more gradually is being elim-
 207 inated further away (following figure 1f). This is because the dynamics closer to
 208 the boundary are faster due to the presence of oxygen which helps the action of
 209 neutrophils [23, 24, 5]. So for our parameter selection this illustrates that the
 210 $\theta^* \equiv 0$ is an asymptotically stable equilibrium and at the same time the $\theta^* \equiv 0.5$
 211 is unstable for any initial biofilm $\theta_0 < 0.5$. In the same figure, we also plot the

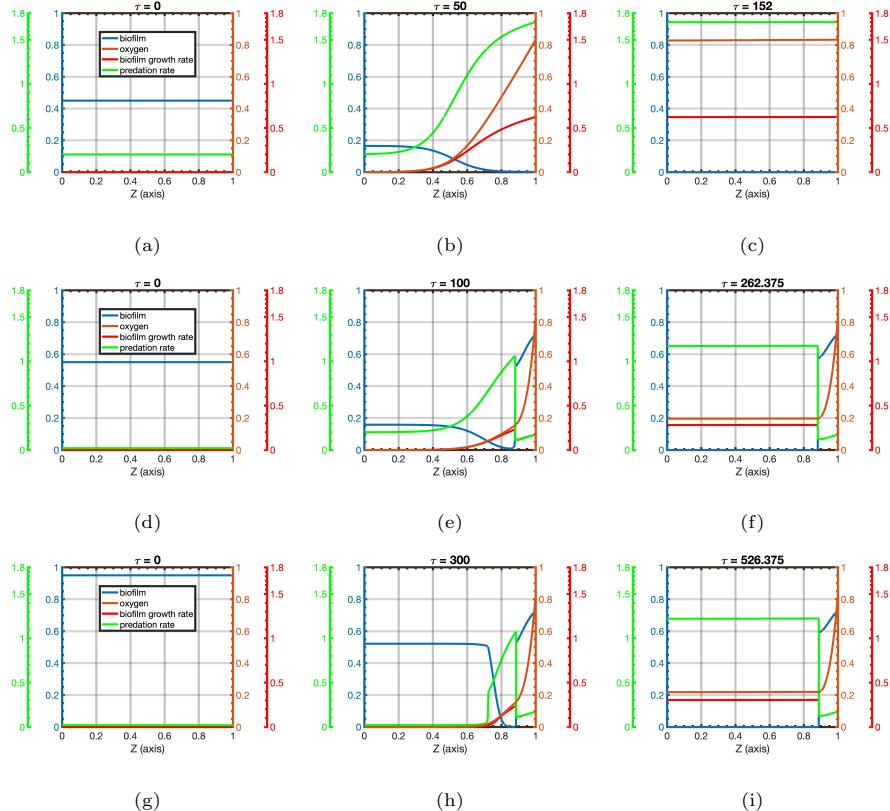


Figure 2: Local Allee Effect–Uniform biofilm initial condition $\theta_0 = 0.45$ (first row), $\theta_0 = 0.55$ (second row), and $\theta_0 = 0.95$ (third row). Initial time, Intermediate time and “steady state” snapshots of biofilm θ (blue) for each case. Other functions are oxygen c (brown), biofilm death rate or neutrophil action rate $\lambda T(w)p(c)f(\theta)$ (green) and also biofilm growth rate $Y\hat{g}(c)(1 - \theta)$ (red). $t = \tau/r$. Base parameters: $\epsilon = 0.1$, $p_0 = 0.1$, $Y = 1.0$, $r = 25$, $K = 0.6$, $K_\theta = 1$, $L = 1$, $\alpha = 50$, $N = 0.2$, $D_c = 0.05$, $D_w = 0.006$, $N_w = 0.5$, $N_c = 0.7$ and $d = 0.003$, corresponding to the dimensionless ratios $\epsilon = 0.1$, $p_0 = 0.1$, $Y = 1.0$, $\lambda = 1$, $\mu = 1/6$, $\beta = 416.67$, $\gamma = 0.583$ and $\eta = 0.5$.

212 oxygen level, neutrophil phagocytosis rate and biofilm growth rate. Observing
213 the various panels corresponding to the same time instance we can better track
214 the interaction between oxygen, biofilm and neutrophils. Equilibrium is reached
215 when the growth rate is equal to the phagocytosis rate or when the biofilm is
216 eliminated. This outcome corresponds to the cure or resolution of a biofilm
infection.

218 For the same parameter choice and a uniform initial biofilm, $\theta_0 = 0.55$ in
219 figure 2-row 2 we observe that only a part of the biofilm closer to the boundary
220 is “repelled” away from $\theta^* = 0.5$, and converges to the third equilibrium, $0.5 <$
221 $u_3^*(z)$, mimicking the prediction of figure 1d, for $z > z_c \approx 0.87$, locally close
222 to the diffusing boundary. The sharp drop of the biofilm at $z \approx 0.87$ is due
223 to the nature of the neutrophil phagocytosis term $\lambda p(c)f(\theta)$ that peaks at that
224 part of the domain. For $z < z_c$ the biofilm decreases eventually to zero since
225 oxygen is slowly penetrating and this favors the neutrophils on the interface for
226 our parameter choice, also where oxygen is zero neutrophil phagocytosis is very
227 small and equal to ϵ but not zero and since biofilm growth is zero for zero oxygen
228 we have that eventually neutrophils win there. This outcome corresponds to the
persistence of the biofilm infection.

230 Finally in figure 2-row 3 we use initial uniform biofilm, $\theta_0 = 0.95$ and we
231 observe that the biofilm eventually returns to a profile, that resembles the last
232 biofilm panel in figure 2-row 2, further corroborating the fact that for at least
233 $z > z_c \approx 0.87$ we have an asymptotically stable third equilibrium and the
234 emergence of an “Allee Effect” locally, in that region of the domain. The biofilm
235 for $z < z_c$ decreases again to zero. This tells us that for $z < z_c$ we are on
236 another stability regime with only one equilibrium (as in figure 1f), where the
237 phagocytosis function is always greater than the growth function for that part
238 of the domain.

240 The local Allee effect in theory guarantees the survival of the biofilm closer
241 to the oxygen source with this set of parameters, as long as the biofilm has high
242 enough volume fraction (e.g., $\theta > 0.5$) as required by the parameter regime. This
243 tells us that any virulent factor, that will help the biofilm closer to the diffusive

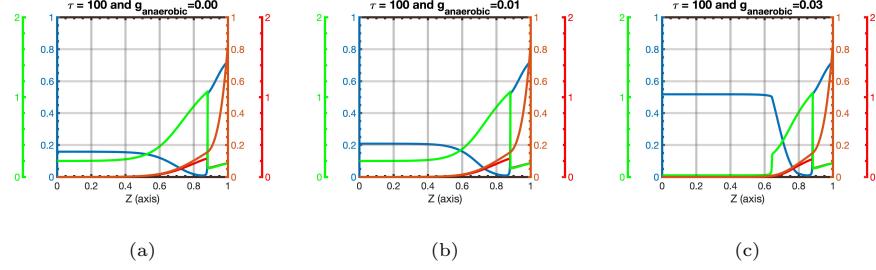


Figure 3: Low Anaerobic Metabolism. Uniform biofilm initial condition $\theta = 0.55$. Simulation snapshots for fixed transient time, $\tau = 100$, of biofilm θ with anaerobic metabolism using $g_{anaerobic} = 0.0, 0.01$ and 0.03 . Biofilm eventually dies off for $z < z_c$ relatively quickly in all cases. E.g. for $g_{anaerobic} = 0.01$ steady state, see figure 6a. Biofilm θ (blue), oxygen c (brown), biofilm death rate or neutrophil action rate $\lambda T(w)p(c)f(\theta)$ (green) and biofilm growth rate $Yg(c)(1 - \theta)$ (red). $t = \tau/r$.

boundary to increase its volume fraction above the threshold $\theta_c = 0.5$ [25], will result in biofilm survival, even if the initial biofilm was below that threshold (cf. Fig. 5). This outcome again corresponds to the persistence of a chronic biofilm infection.

3.2. Effects of Biofilm's Anaerobic Metabolism

To investigate the effects of anaerobic metabolism we introduce a constant parameter that accounts for anaerobic growth as described in (5). We choose the same base parameters as in figure 2 with initial uniform biofilm concentration $\theta = 0.55$, and vary the values of $g_{anaerobic}$. In figure 3 for some fixed transient time, we observe that for nonzero $g_{anaerobic}$ the biofilm infection for $z < z_c$ is higher as the anaerobic metabolism parameter increases. It is worth noting that for all cases in figure 3 the biofilm eventually goes to zero for $z < z_c$ since the oxygen penetrates slowly while the biofilm is eliminated close to z_c and thus allows the neutrophils to become more effective progressively deeper inside the domain until the infection is eradicated, for $z < z_c$ (for a longer simulation corresponding to $g_{anaerobic} = 0.01$, cf. Fig. 6a).

However, for sufficiently large value, e.g. $g_{anaerobic} = 0.3$, the infection persists indefinitely in all regions of the domain and reaches a steady state

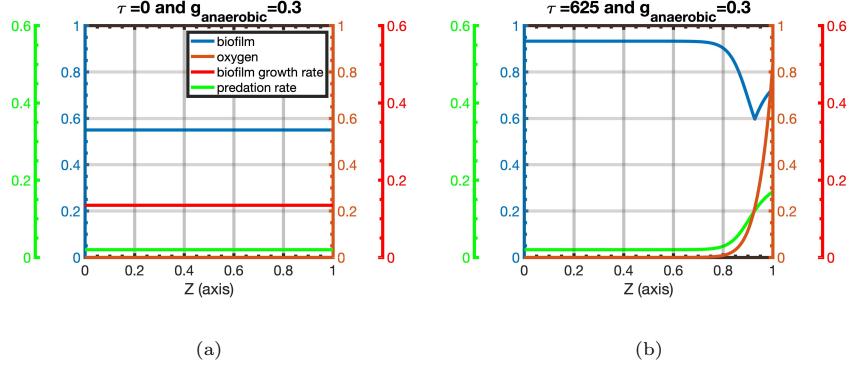


Figure 4: High Anaerobic Metabolism. Biofilm survival. Panel 4a: uniform biofilm initial condition $\theta = 0.55$. Panel 4b: steady state of biofilm θ with anaerobic $g_{\text{anaerobic}} = 0.3$. Biofilm θ (blue), oxygen c (brown), biofilm death rate or neutrophil action rate $\lambda T(w)p(c)f(\theta)$ (green) and biofilm growth rate $Y\hat{g}(c)(1 - \theta)$ (red). $t = \tau/r$.

(cf. Fig. 4). This high relative ratio choice between maximum anaerobic and aerobic growth, is similar to the relative growth ratio, ~ 0.26 , between growth in well oxygenated vs highly hypoxic setting described in table 1, of [32] for *Pseudomonas Aeruginosa*. Other bacteria like *Pseudomonas Fluorescens* have even higher relative growth ratios ~ 0.5 , (see table 1 in [33]). For some bacteria though, this anaerobic value might be quite high, hence, in subsequent tests in section 3.4 we explore lower amounts of toxin and anaerobic employed together.

We note that the action of anaerobic growth happens only in parts of the domain sufficiently away from the diffusive boundary ($z < z_c$), where oxygen is low enough and thus its effect is sharp due to the localized nature of the anaerobic function in (5). In terms of a clinical infection outcome, the capacity for anaerobic respiration under hypoxia, enhances biofilm formation [20] and this is in agreement with our model prediction.

274 3.3. Effects of Biofilm's Diffusive Virulence Factors

In this section we explore the effects of diffusing virulence factors. One example is the production of cytotoxin by the biofilm that lyses the neutrophils [5, 8, 9, 10, 11, 12, 13]. We set the anaerobic metabolism to zero and vary the rate,

²⁷⁸ δ , of toxin production in (8). Since the virulence factors diffuse at various concentrations in all parts of the domain even in parts of the domain where they ²⁸⁰ were not originally produced, these factors effectively help the biofilm to survive or to persist longer before eradication, in that part of the domain. In figure 5

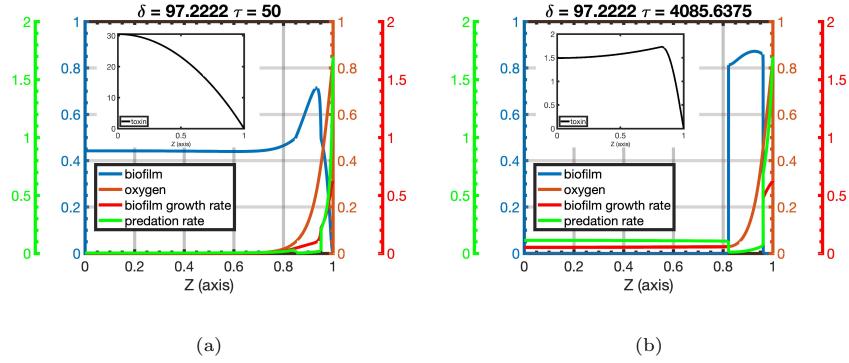


Figure 5: Highly Virulent. Diffusive Virulence Factors. Panel 5a: uniform IC profile $\theta = 0.45$. Panel 5b: steady state of biofilm θ . Same parameter as figure 2, with the addition of $\delta \approx 97$. Biofilm θ (blue), oxygen c (brown), biofilm death rate or neutrophil action rate $\lambda T(w)p(c)f(\theta)$ (green) and biofilm growth rate $Y\hat{g}(c)(1 - \theta)$ (red). $t = \tau/r$. Toxin is depicted in the inset figure.

²⁸² we observe the survival of biofilm that is highly virulent in contrast with the ²⁸⁴ biofilm simulation that uses the same parameters, but has no virulence factors, (see figure 2-row 1), which eventually dies off everywhere. The biofilm in figure 5 secretes at the early stages high enough toxin (see figure 5b) to decrease ²⁸⁶ the phagocytosis rate “nearly” to zero in the majority of the domain and to have the phagocytosis rate lower than the growth rate close enough to the diffusive ²⁸⁸ boundary. This is due to the fact that at this stage of the simulation the biofilm that is away from the diffusive boundary is highly hypoxic and maintains its ²⁹⁰ original mass, thus secreting more toxin [9, 10]. Where the growth rate is higher ²⁹² than the phagocytosis rate in proximity to the diffusive boundary, the biofilm grows above the “threshold” 0.5 value with the help of toxin that diffuses from ²⁹⁴ all the parts of the domain, hence at least at that part its survival is guaranteed because of the dynamics, even if the biofilm eventually very slowly is being

eradicated at parts of the domain away from the oxygen diffusive boundary. We
296 note here that the eradication of the biofilm in those parts, is due to the fact
that early on an active layer blocks oxygen from reaching the biofilm away from
298 the diffusive boundary and since the phagocytosis term is never zero even while
oxygen is zero — unlike the biofilm growth term which is zero when there is
300 no oxygen — this gives to the neutrophils a competitive advantage in absence
of anaerobic metabolism. We can theorize here, that for this setting, anaero-
302 bic metabolism is also needed to help the survival of biofilm in the part of the
domain where oxygen is zero. Even if in the last profile oxygen is penetrating
304 in low concentrations the parts away from the boundary, it was not enough to
save the biofilm there from the neutrophils, in a hypoxic environment with only
306 toxin production and no anaerobic growth.

Since we use zero boundary condition for the toxin on the oxygen diffusive
308 boundary our nonspatial stability analysis says that with this parameter choice,
at that part of the domain we expect the biofilm to locally die off, and indeed
310 this is happening in that small region neighboring the top boundary, where
the action of toxin is zero or very negligible, the biofilm follows the dynamics
312 observed in figure 2-row 1. This insight from the stability analysis helps us
evaluate the validity of our simulation results and is very useful.

314 3.4. Combined Biofilm Virulence Factors

For this section we combine the effects of anaerobic growth and production
316 of toxin. We fix a toxin production level and anaerobic value such that each
individual virulence factor (e.g., toxin, anaerobic metabolism) alone is unable
318 to guarantee biofilm survival (cf. Fig. 6a and 6b) for $z < z_c$. In figure 6c we
observe that the combined effect of bacterial-biofilm anaerobic metabolism and
320 toxin production results in the survival of biofilm for $z < z_c$, where there, the
absence of one of the two contributing factors causes the biofilm to die off. In
322 figure 6c, toxin is nonzero everywhere except on the top boundary where it
decreases monotonically to zero. Toxin has an effect on the biofilm profile even
324 in the domain part where $z > z_c$ where oxygen is high enough unlike anaerobic

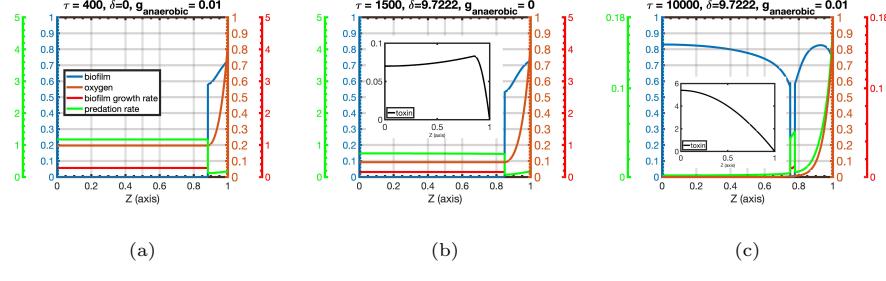


Figure 6: Combined anaerobic and toxin effects result in survival of biofilm–Uniform biofilm initial condition $\theta = 0.55$. Base parameters as in figure 2. Steady States: Panel 6a depicts biofilm density and has toxin production turned off with anaerobic turned on and set to $g_{\text{anaerobic}} = 0.01$, the panel 6b shows biofilm density with anaerobic off but toxin production rate turned on set to $\delta \approx 9.7$, the panel 6c also shows biofilm density having both anaerobic metabolism and toxin production turned on set to $g_{\text{anaerobic}} = 0.01$ and $\delta \approx 9.7$. Biofilm θ (blue), oxygen c (brown), biofilm death rate or neutrophil action rate $\lambda T(w)p(c)f(\theta)$ (green) and biofilm growth rate $Yg(c)(1 - \theta)$ (red). $t = \tau/r$. Toxin is depicted in the inset figure.

metabolism which kicks in only at approximately $z < z_c$ where oxygen is low enough.

So we observe that a relatively small amount of anaerobic metabolism in combination with a comparatively small rate of toxin production acting in synergy guarantee the longer survival and growth of biofilm in parts of the domain where each one of these factors alone is unable to do that. This mimics closer the natural biofilm processes where under hypoxia a combination of various anaerobic metabolism and toxin production is utilized to achieve biofilm survival and growth [19, 20].

The dip in figure 6c can be explained, because our model predicts different dynamic behaviors on the left and right of z_c . The dip starts forming right on the threshold of the competing dynamical behaviors. The dip observed, starts forming earlier on the simulation, where there is enough oxygen at z_c , for the neutrophils to overwhelm the biofilm there. Since the biofilm, gets completely eliminated at that point the dip remains, because in our model the biofilm grows only in height, and not laterally. Although we could observe such features in experimental biofilm profiles e.g., [34]-figure 1c, we are not aware of

342 an existing experimental result that illustrates specifically that such a dip is due
343 to neutrophil action.

344 *3.4.1. Biofilm Initial Distribution Effect*

345 To test the effect of how the distribution of biofilm in the 1D domain might
346 effect its growth and survival we compare the scenario in figure 6 with a scenario
347 that has the same total initial biofilm volume fraction but uniformly distributed
348 only on the half domain, the one closer to the diffusive boundary, $z > 0.45$,
(see figure 7). For this test we observe that the setup that has the initial

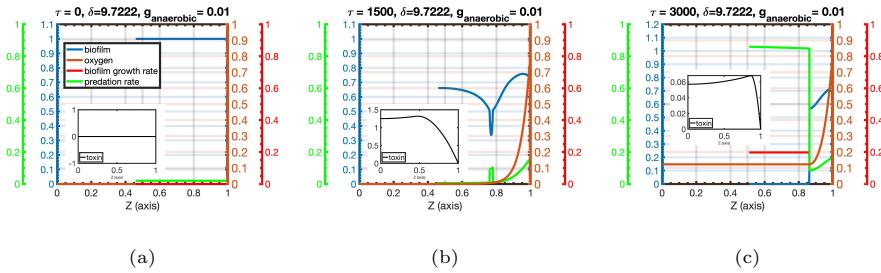


Figure 7: Combined anaerobic and toxin effects simulations with a concentrated initial biofilm distribution–Parameters as in figure 6c. First panel depicts the initial condition for biofilm with $\theta_0 = 1$ on $[0.45, 1]$. Second and third panels: intermediate time snapshot and steady state snapshot corresponding to ICs. Biofilm θ (blue), oxygen c (brown), biofilm death rate or neutrophil action rate $\lambda T(w)p(c)f(\theta)$ (green) and biofilm growth rate $Y\hat{g}(c)(1 - \theta)$ (red). $t = \tau/r$. Toxin is depicted in the inset figure.

350 biofilm as in figure 6c i.e., uniformly distributed on the entire domain, survives
351 in contrast to the biofilm corresponding to the initial biofilm distribution on the
352 half domain, which eventually gets cleared by the neutrophils, for $z < z_c$, (see
353 figure 7). By looking figures 7a and 7b we observe that the dynamics close to
354 the boundary $z > z_c \approx 0.8$, quickly pull down a large part of the concentrated
355 biofilm initial condition to the third asymptotically stable equilibrium, thus
356 lowering a significant part of the biofilm concentration, effectively reducing the
357 production of adequate toxin required for its survival in the region where $z <$
358 z_c . This in combination with the higher oxygen concentration present due to
359 longer active layer because of lower biofilm volume fraction, further diminishes

360 the toxin production there, and the result is that everything eventually with
361 volume fraction $\theta < 0.5$ is cleared by neutrophils following similar dynamics as
362 in figure 2-row 1. This is different from the spread profile example in figure 6c
363 where more biofilm is located away from the diffusive boundary and oxygen is
364 unable to penetrate there, thus larger portion of the biofilm can produce higher
365 toxin levels contributing to longer survival and growth except from a very small
366 extinction region where the neutrophils managed to “win”.

367 We also observe that in both simulations (figure 6c and figure 7) the part
368 of the biofilm, $z > z_c$ (z_c different in each of the two scenarios) survives and
369 is on steady state following the dynamics we showed before in figures 2 second
370 and third row, hence its partial survival as long as its initial volume fraction is
371 greater than 0.5 is guaranteed with this choice of base parameters. We remark
372 that the presence of toxin just adds to the value of the steady state biofilm at
373 the part close to the diffusing boundary, by pushing it slightly higher than a
374 scenario with no toxin.

375 The test also tells us that for example, if the case corresponding to figure 2-
376 row 1 would have had the entire initial biofilm stacked in the half of the domain,
377 i.e., $\theta_0 = 2 \times 0.45 = 0.9 > 0.5$, closer to the diffusion boundary $z > 0.5$, then at
378 least the part of it corresponding to $z > z_c$ (for some z_c according to the chosen
379 parameters), will survive, regardless of toxin or anaerobic effects, primarily due
380 to the dynamics we described in figure 2-row 2,3.

4. Two Dimensional Biofilm

381 In this section using the same base parameters, we perform simulations to
382 better illustrate the interaction between biofilm and neutrophils in two spatial
383 dimensions (2D), by considering isolated colonies. In a previous work [29] we
384 have demonstrated that a dense enough cluster of colonies behaves essentially
385 as one with respect to diffusion, which is covered by the previous 1D discussion.

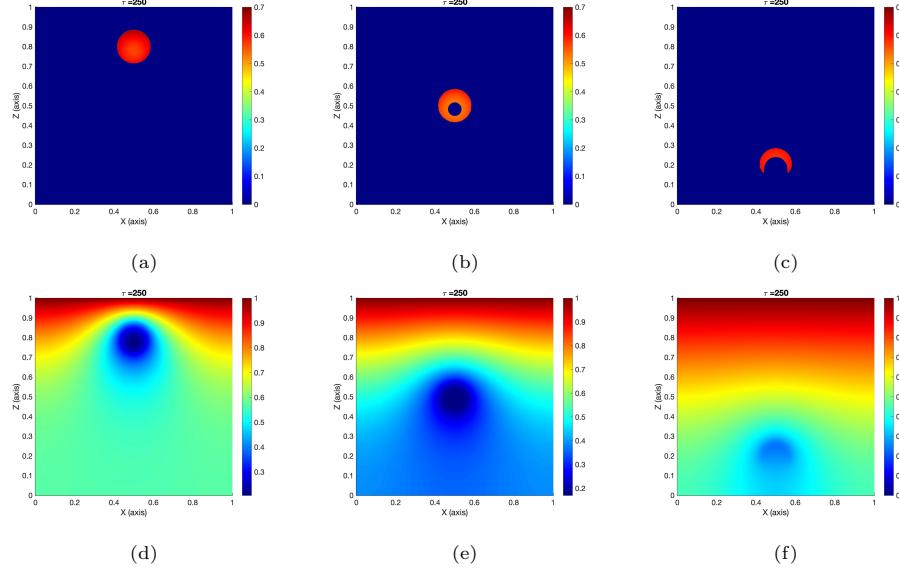


Figure 8: Single isolated 2D colony – Base parameters with anaerobic growth and toxin production both turned off. Initial condition colony is positioned successively at $x = 0.5$ and $z = 0.2, 0.5, 0.8$ with initial radius ≈ 0.1 and initial height 0.55. Oxygen diffuses at $z = 1$. Panels depict steady state profiles for each colony position. Second row depicts the corresponding oxygen profiles.

4.1. Minimum Height for Survival

388 Here we turn off the anaerobic growth and toxin production and examine
 the height of an isolated colony of radius ≈ 0.1 that guarantees its survival.
 390 We have – like in 1D – reached to the conclusion that in presence of sufficient
 oxygen, anything with height > 0.5 survives and anything with height < 0.5
 392 gets cleared by the neutrophils for our previous choice of base parameters, in
 absence of anaerobic and toxin production. This also tells us that a very little
 394 amount of biofilm mass if it is stacked together is able to survive, which means
 the structure of biofilm matters for its survival [5, 16, 17], in contrast to being
 396 spread at heights < 0.5 which it dies, as shown in 1D.

398 To illustrate the importance of 2D, in figure 8 we position a single isolated
 colony of radius ≈ 0.1 and height 0.55, at three different positions, away from the
 oxygen diffusing boundary and we observe that although a part of the biomass is

400 surviving as expected, in each case, local features intrinsic to 2D are observed.
401 On the panel 8a when the colony is positioned close enough to the diffusive
402 boundary we observe that it survives and grows higher in the front part which
403 is closer to the oxygen boundary. Sufficient oxygen is penetrating the colony
404 but also diffuses from the colony sides so it reaches around it to the back side
405 in sufficient amount so no part of it gets completely cleared. On the panel 8b
406 we observe that not enough oxygen penetrated the interior of the colony result-
407 ing in the clearance of its “center core” slightly towards the backside, by the
408 neutrophils. In the panel 8c we have that not only the interior gets cleared but
409 also the entire part of the colony that is away from the diffusing oxygen front
410 is also cleared.

411 This local behavior can be explained by looking to figure 2 rows 2 and 3 where
412 in the transient panels the oxygen is low away from the boundary helping the
413 neutrophils to push the biofilm lower than 0.5 there, resulting in the clearance
414 of the biofilm, in absence of any virulence factors (or anaerobic breathing) of
415 course. In the panel 8c after the formation of the crescent the oxygen (panel 8f)
416 eventually has more room to diffuse and thus the surviving biofilm reaches little
417 higher than the steady state height of the middle colony, due to slightly higher
418 oxygen concentration there.

419 The understanding of the local behavior is useful since it highlights the
420 specific parts of the colony that are hypoxic, where anaerobic metabolism and
421 higher toxin production will be present when such features are turned on.

422 Finally we note that the radius of the colony affects the formation of the
423 local features in relation to the distance from the oxygen diffusive boundary.
424 For example a colony with higher radius is expected to exhibit the crescent
425 like behavior when is closer to the boundary than a smaller radius one. An
426 “infinite” radius colony is the simulation corresponding to the uniform initial
427 biofilm profiles in 1D figure 2.

428 *4.2. Virulent Colonies Survive in Synergy*

In this section we position two colonies of radius (≈ 0.1) at $x = 0.5$ with one
430 colony on the bottom ($z = 0.2$) at height 0.3 and the other colony on the top ($z =$
0.7) at height 0.45 (see figure 9 first row). We keep the same base parameters
432 and turn on the anaerobic to $g_{anaerobic} = 0.3$ and the toxin production rate to
434 $\delta \approx 97$. Also we include in this test a tiny biofilm diffusion ($D_b = 10^{-5}$) to allow
for the biofilm colony to expand very slowly radially making the simulation more
realistic. Both colonies at their respective locations in absence of the other get
436 cleared by the neutrophils with the current parameters.

In figure 9 we observe the evolution of the two virulent colonies positioned
438 together, working in synergy eventually resulting in their survival. Specifically
the top colony while is being cleared by neutrophils “blocks” oxygen long enough
440 and allows the bottom colony to grow in a hypoxic environment by utilizing
anaerobic metabolism while producing higher levels of diffusing virulent factors
442 (toxin) (see figure 9 second row). The bottom colony is growing in a sense
protected by the top colony, which is attracting the bulk of the phagocytosis
444 due to higher amounts of oxygen there and is continuously dying, to the point
that is almost completely eradicated (see figure 9 third row).

446 After the bottom colony anaerobically grows high enough, it produces a
sufficient amount of diffusing toxin that is able to arrest the phagocytosis of
448 the top colony by neutrophils (especially on the side away from the oxygen
diffusing boundary—the back side) and help it to start regrowing (see figure 9
450 fourth row). The top colony regrows more towards its back side because is
452 more hypoxic there, since on its front with higher oxygen concentration there,
neutrophils still “win” as long as the height is < 0.5 according to the dynamics
454 we studied. Both colonies grow and their hypoxic parts increase in height with
a very slight increase in radius allowing more toxin to be generated from their
hypoxic regions and this feedback mechanism allows them to survive.

456 Any part of the top colony that has sufficient oxygen on it, is guaranteed
to survive forever after its height reaches > 0.5 according to our dynamics and
458 what we showed in figure 8 and the discussion therein, since anaerobic and toxin

has an additive effect on its fitness. This, results in more oxygen blockage with
460 the rest of the colony parts growing using anaerobic and taking advantage of the
reduced biofilm phagocytosis due to biofilm structure (height > 0.5) and also
462 increased levels of toxin (coming from the top and bottom colonies via diffusion)
(see figure 9 last row). The bottom colony is now protected fully by the top one
464 and both together “feed” each other and survive in synergy.

An important observation made in designing the test is that the spatial
466 arrangement of the two, colonies is vital to their synergistic survival under
the described mechanism. One colony needs to be “close enough” above the
468 other and directly in the path of diffusing oxygen in order for the synergistic
survival mechanism to be effective and viable to the persistence of the infection.
470 Otherwise, colonies spatial arrangement that position the two far apart or the
top such that is not not directly in the diffusing oxygen result in infection
472 elimination, with the current choice of our non-dimensional parameters.

In figure 9 all the features of our model are in action providing a possible
474 explanation how multiple colonies could “work” together to fight off the host
immune system by protecting each other. Synergistic interactions between bac-
476 terial colonies have been observed in other circumstances, for example when
under antibiotic stress [35]. For this reason the feedback mechanism our model
478 predicts might be a plausible explanation why infection overcomes the immune
response in hypoxic conditions via colony synergy.

480 5. Numerical Solution

The equations used in our work are nonlinear and do not have analytical
482 solutions. One of the important difficulties we want to address is that the biofilm
colony profiles exhibit “near” vertical interfaces effectively making the solutions
484 discontinuous at some parts, due to the competing dynamics in different parts of
the domain. This makes it challenging to correctly numerically resolve them (see
486 for example figures 8, and 2). For this reason, specialized high order and efficient
numerical methods are required.

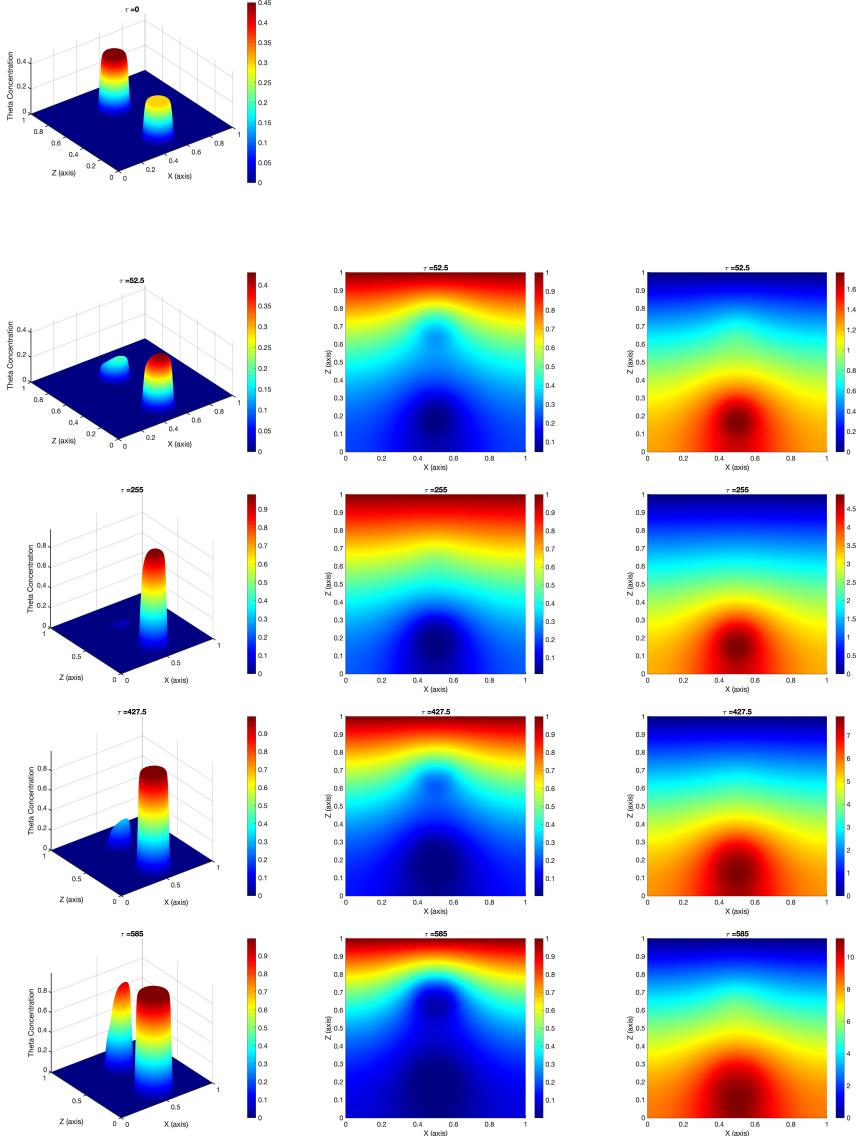


Figure 9: Two virulent colonies survive in synergy – Base parameters with anaerobic and toxin both turned on with $g_{anaerobic} = 0.3$ and $\delta \approx 97$. A very small amount of biofilm diffusion $D_b = 10^{-5}$ is added. Initial condition colonies are positioned at $x = 0.5$ and $z = 0.2, 0.7$ with initial radius 0.1 and initial height 0.3 for the bottom ($z = 0.2$) colony and 0.45 for the top ($z = 0.7$) one. First column depicts biofilm evolution. Second and third columns depict the corresponding oxygen and toxin profiles.

488 Consequently, we employ high-order mesh adaptive (h-adaptive) discontinuous
 489 Galerkin (DG) finite-element (FE) numerical schemes. Since finite elements
 490 generate a variational formulation of (2) – (4), the biofilm interface, can be
 491 handled using high-order numerical quadratures in conjunction with compati-
 492 ble meshes and mesh adaptivity. The adaptive algorithms and marking strategy
 493 follow the work done in [36, 37, 38]. High-order solution approximations can be
 494 obtained by using higher degree basis functions. Another attractive feature of
 495 the DG method is the ease with which it accounts for various types of boundary
 496 conditions by incorporating them into the weak formulation. A comprehensive
 497 review of DG methods for the spatial discretization of elliptic and other type of
 498 PDEs can be found in [39, 40, 41]. In our model’s 2D numerical implementa-

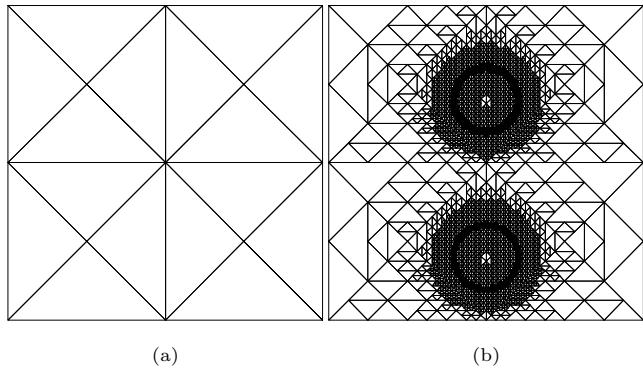


Figure 10: Left: Initial (level 0) mesh used in all 2D computations, right: an instance of the evolving adaptive mesh (by refinement and coarsening) using quadrisection, supporting one hanging node per elemental edge and preserving the periodic edge map, used in the computations for figure 9.

498
 499 tion we require periodic boundary conditions on the left and right parts of the
 500 boundary. The periodic boundary conditions are *implemented weakly* extend-
 501 ing the ideas proposed in [42] for the Poisson equation. The method in [42] was
 502 presented on a uniform mesh and requires the existence of the same number of
 503 edges in the corresponding periodic boundaries. It suggests the creation of a
 504 map between matching periodic edges, $e_i, e_j \in \mathcal{E}^B$, defined as periodic pairs e_p ,
 505 that is, $e_p := \{e_i, e_j\}$, where $e_i \subseteq \{x = 0\} \times [0, L]$ and $e_j \subseteq \{x = P\} \times [0, L]$,

506 $(P$ is the length of the periodic domain) and \mathcal{E}^p is the set of all periodic pairs.
 508 Essentially, a periodic pair is treated as a single interior edge and the corre-
 510 sponding extra terms are introduced in the bilinear forms. When dealing with
 512 adaptive meshes there is an additional level of complexity which we had to
 514 address in order to correctly maintain the periodic map due to the fact that
 refined periodic edges may create an imbalance to the number of edges on each
 periodic boundary (see figure 10). This was achieved by following the work
 done in [43, 30]. We note that the implementation of DG finite elements under
 the context of adaptive mesh refinement and coarsening (de-refinement) with
 periodic boundary conditions and multilevel solvers, is highly non trivial.

516 We now briefly describe the specific numerical method utilized to solve the
 518 governing equations in this study. For the time-stepping, the well-known theta-
 method is employed – the choice of $\Theta = 0.5$ corresponds to the Crank-Nicolson
 520 method which provides in theory second-order accuracy in time. We decouple
 522 the equations using a time relaxation on θ present in (11), (12) and thus they
 can be solved sequentially. We observed that this technique helped the stability
 of the numerical scheme. We arrive at the following fully discrete scheme for
 the system (2) – (4): Find $(\theta_h^n, w_h^n, c_h^n) \in V_h^q$ such that,

$$D_c \mathcal{B}_h(c_h^n, \chi) = -(\theta_h^{n-1} g(c_h^n), \chi) + \text{BT}_c^{Dirichlet}, \quad (11)$$

$$D_w \mathcal{B}_h(w_h^n, \chi) = (r_w q(c_h^n) \theta_h^{n-1} - dw_h^n, \chi) + \text{BT}_w^{Dirichlet}, \quad (12)$$

$$\begin{aligned} \left(\frac{\theta_h^n - \theta_h^{n-1}}{Dt}, \chi \right) &= \Theta (F(c_h^n, w_h^n, \theta_h^n), \chi) \\ &\quad + (1 - \Theta) (F(c_h^n, w_h^n, \theta_h^{n-1}), \chi), \end{aligned} \quad (13)$$

524 where $\chi \in V_h^q$ is a DG basis function and V_h^q is the DG finite dimensional
 526 space [39] consisting of piecewise polynomial elements of degree, q . The usual
 L^2 -inner product is denoted by (\cdot, \cdot) and $\mathcal{B}_h^n(\cdot, \cdot)$ is the symmetric interior penalty
 528 DG bilinear form corresponding to the Laplacian operator in variational form
 with the prescribed BCs [42, 43, 30] and BT^D are boundary terms due to
 non-homogeneous Dirichlet BC. The q th-order DG basis polynomials, e.g. $q \in$
 530 $\{1, 2, 3, 4\}$, provide accuracy that is $O(h^{q+1})$ for the L^2 -norm of the spatial error

at each time step, with h being the mesh discretization parameter.

532 In this work, for the solution of the nonlinear equations (11)-(13) we use
533 fixed-point type methods. Specifically for the solution of (11), (12) we use what
534 is called “Gradient flow in H^{-1} inner product/Relaxed fixed-point method”,
535 a type of relaxed fixed-point that can be thought as the gradient flow of the
536 corresponding parabolic equation. This method at every iteration is significantly
537 cheaper than Newton or nonlinear multigrid solvers and its convergence was
538 found to be robust. To speed up the convergence of the method we scale the
539 pseudo-time using the technique in [44]. An optimal choice of pseudo-step size
540 can be obtained by linear search methods (cf. [45]).

541 For the solution of the corresponding linearized algebraic systems arising
542 from the numerical discretization of the equations we use sparse LU and sparse
543 Cholesky solvers utilizing libraries from [46] or geometric linear multigrid [47],
544 while taking advantage of the sparse symmetric positive-definite mass and stiff-
545 ness matrices that have block structure due to the use of the symmetric interior
546 penalty DG-FE variant.

6. Conclusion

547 We have devised a mathematical model describing biofilm growth and phago-
548 cytosis by neutrophils, incorporating virulence factors such as diffusing toxin
549 and anaerobic metabolism. First, (a nonspatial) version of the model was an-
550 alyzed via stability analysis to gain insight, then numerical simulations of the
551 full spatial continuum model were performed to understand its behavior. We
552 demonstrated the importance of the virulence factors for biofilm survival under
553 neutrophil phagocytosis. Our various test in 1D and 2D showed that spatial dis-
554 tribution and distance from the diffusing oxygen source elicits different outcomes
555 regarding the survival or elimination of the biofilm infection under neutrophil
556 immune response. We explained some of those outcomes based on the insights
557 we obtained doing the simple nonspatial stability analysis. Our tests showed
558 a threshold biofilm concentration that can guarantee infection persistence if it

560 is reached. Also we observed that a well oxygenated tissue would not allow
561 biofilm colonies to grow enough, due to enhanced neutrophil killing, in order
562 to reach the threshold concentration that is needed to survive. Hence hypoxia
563 and the various mechanisms biofilm employ that are triggered in response to it
564 (e.g., secretion of toxins and anaerobic metabolism), were found by our model
565 to be essential for the persistence and spread of a bacterial infection. Finally,
566 we showed an example where two virulent biofilm colonies (unable to survive
567 alone in absence of the other) survive in synergy, “protecting” each other from
568 phagocytosis by neutrophils. The two colonies example gives an insight and a
569 potential explanation on how multiple colonies in a hypoxic setting can over-
570 come the host immune system response synergistically by using virulence factors
571 and shielding each other, in order to grow and expand.

572 Ours tests highlight the importance of local oxygen concentration level to
573 boost neutrophil effectiveness against bacterial infection and this motivates fur-
574 ther investigation by experimentalist on how this can be achieved, possibly based
575 on some of the insights that our theoretical mathematical model provides. Also
576 our phenomenological results might corroborate the need for therapies that in-
577 crease oxygen levels on the infection site, like hyperbaric therapy [48], as a
578 means to boost the immune response, even before the administration of antibi-
579 otics, which tests already showed that their effectiveness is increased by higher
580 oxygen levels [49, 50], but eventually bacteria might become resistant to them.

582 In this work we modeled the effects of neutrophils without explicitly mod-
583 eling their population or spatial evolution. In future work a model that can
584 incorporate the neutrophils as discrete agents using techniques found in [51]
585 utilizing a hybrid discrete continuous setting, could allow us more freedom to
586 test different interactions, for example the use of NETs by neutrophils. Fur-
587 thermore, the use of a phase field framework that will allow biofilm colonies to
588 naturally expand spatially while incorporating cell-cell adhesion [52], could be
589 more appropriate to be used in equation (2), within a hybrid discrete continuous
590 framework mentioned above.

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