

Towards a potential landscape framework of microbiome dynamics

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Abstract

Microbiome dynamics influence the health and functioning of human physiology and the environment. These dynamics are driven in part by interactions between large numbers of microbial taxa, making large-scale prediction and modeling a challenge. Here, we identify states and dynamical features relevant to macroscopic processes, such as infection in the human body and geochemical cycling in the oceans, by modeling the dynamics as stochastic motion on a potential energy-like landscape. We show that gut disease processes and marine geochemical events are associated with reproducible transitions between community states, defined as topological features of the landscape. We find a reproducible two-state succession during recovery from cholera in the gut microbiomes of multiple patients. Recurrence of the late disease state prolongs disease duration. We find evidence of dynamic stability in the gut microbiome of a human subject after experiencing diarrhea during travel, in contrast to residual instability in a second human subject after clinical recovery from *Salmonella* infection. Finally, we find the structure of marine *Prochlorococcus* communities in the western Atlantic and north Pacific oceans to smoothly vary with temperature and depth. However, annual water column cycling in the Atlantic drives periodic state transitions across depths. Our approach bridges the small-scale fluctuations in microbiome composition and large-scale changes in state and phenotype, improves analyses of how changes in community composition associate with phenotype without requiring experimental characterization of underlying mechanisms, and provides a novel assessment of microbiome stability and its relation to human and environmental health.

Importance

Time series of microbial communities are difficult to analyze due to the large number of interacting taxa. We developed a novel analysis based on topology to detect compositional states and state transitions in microbial time series. Our method generalizes across biological systems and can identify gut microbiome dynamics associated with recovery from disease in multiple patients on the order of weeks, and marine bacterial dynamics driven by geochemical cycling on the order of years. We furthermore propose a novel definition of ecological stability that distinguishes between complete and incomplete recovery from infection in human gut microbiomes. Our method requires minimal assumptions regarding biological mechanisms. Overall, our analysis complements current methods for identifying key ecological processes in microbial communities, and suggests further developments in modeling that may improve prediction of microbial dynamics.

Introduction

Complex microbial ecosystems ('microbiomes') inhabit a diversity of environments in the biosphere, including the global ocean [42], soil [12], and the human gut [43]. Large-scale alterations in the composition of microbiomes is often associated, whether as driver or consequence, with environmental processes such as seasonal geological cycling and nutrient fluctuations [14]; physiological processes

45 such as menstrual cycles [15]; and clinical phenotypes such as irritable bowel syndrome [3]. Anal-
46 ysis and prediction of the large-scale dynamics of microbiome composition is thus a pressing issue
47 in multiple fields of study.

48 As with many biological systems, understanding of the dynamics of microbiomes is complicated
49 by their high dimensionality. Numerous variables define the state of a microbiome; these include
50 frequencies of microbial taxa and their genetic alleles, which are decoupled due to genomic plasticity
51 and horizontal gene transfer [31, 32], and environmental conditions such as temperature, pH, and
52 biochemical concentrations. A microbiome thus has a vast number of potential configurations in
53 which it may, in principle, fluctuate on a short time scale. By contrast, systemic phenotypes, such
54 as human gut infections or aquatic algal blooms, persist for much longer than bacterial generation
55 time, and community compositions may be diverse within a phenotype [14]. Furthermore, due
56 to the diverse biology of microbiomes across habitats, it may be desirable to have a quantitative
57 framework that can be generalized across biological systems.

58 One approach to analyzing microbiome dynamics has been to infer the network of underlying
59 pairwise interactions between taxa by calculating the inverse covariance matrix from time series
60 data, often as a basis for modeling population dynamics using Lotka-Volterra equations [13, 25,
61 41]. Such approaches are useful for predicting fine-grained taxon-taxon interactions of importance,
62 and are challenged by the compositional nature of microbiome data [39] and possible role of higher-
63 order interactions [4]. A complementary coarse-grained approach is to cluster samples according
64 to compositional similarity, and conceptualize dynamics as stochastic transitions between clusters
65 [2, 9]. Such approaches can be used to identify large-scale shifts in compositional state, with the
66 implicit assumption that each temporal sample can be assigned to one of a finite number of discrete
67 categories.

68 We propose to supplement these methods with a *potential landscape* approach. Potential land-
69 scapes provide a framework for modeling the dynamics of high-dimensional, complex systems such
70 as microbiomes by representing the configurations of a dynamical system—here, the possible com-
71 positions of a microbiome—as coordinates in phase space, where similar configurations are located
72 close together. The system dynamics are considered as stochastic motion on the resultant manifold,
73 with topological features corresponding to the probable configurations of the system and trajec-
74 tories between them. Features of the potential landscape, such as valleys and peaks, represent
75 more and less probable compositional states, respectively, and are related to notions of attractors
76 and basins of attraction in dynamical systems theory. This approach predicts that, over time,
77 the system evolves along the contours of the landscape towards a local minimum of the potential;
78 thus, the shape of the landscape in principle predicts the dynamics. Thus, the landscape encodes
79 the underlying interactions between components, in our case microbial taxa, without explicit as-
80 sumptions regarding underlying biological mechanisms (Fig. 1A). In biology, attractors and basins
81 of attraction have been found in theoretical and experimental studies to correspond to states of
82 population survival and extinction [6, 7, 35]; cell phenotypes in differentiating stem cells [44, 46]
83 and transformed cancer cells [23, 27]; and probable states of brain activity [19]. These results show
84 that topological features of the potential landscape can be thought of as metastable states asso-
85 ciated with phenotypes of biological and clinical relevance as well as the dynamics of phenotypic
86 transitions, and that revealing the potential landscape may have implications for modeling and
87 predicting the dynamics of complex biological systems. Similarly to clustering, the composition
88 can be approximated by the metastable state or states to which it belongs at a given time, and
89 the trajectory of the system in phase space over time can be approximated by a succession of
90 such states. However, it is important to note that this definition of system states derives from an
91 underlying continuous potential landscape, and thus differs from clustering methods.

92 To characterize features of the microbial potential landscape, we used topological data analysis
93 (TDA), specifically the Mapper algorithm [34, 40] to infer the topological features of the potential
94 landscapes for three published microbial time series data sets, two human gut microbiomes—one of
95 stool samples collected from seven cholera patients from disease through recovery [22], one from two
96 mostly healthy adult males [8]—and one of marine *Prochlorococcus* communities spanning multiple
97 depths collected from one site in the Atlantic Ocean (BATS) and one in the Pacific (HOT) [28]. We
98 selected these data sets in part to test our method by recapitulating biology known from the original
99 studies, and in part to discover novel features not addressed by prior methods. Briefly, Mapper
100 represents the underlying distribution of data in a metric space as an undirected graph, where
101 each vertex comprises a non-exclusive subset of data points spanning a patch of phase space. An
102 edge is drawn between each two vertices that share at least one data point (Fig. 1A), representing

connectivity between patches. We complement Mapper with a novel graph-theoretical analysis to estimate the value of the potential over each patch of phase space represented by a vertex, determine local minima, and define metastable community states (Fig. 1B). In both human gut and marine systems, we find that significant physiological and environmental events, including recovery from infection and geochemical cycling, correspond to recurrent successions of state transitions. We show that these successions are an informative coarse-grained view of microbiome dynamics, with implications for the assessment of ecological resilience.

Results

Dynamics of human gut microbiome recovery from cholera infection

We found the cholera phase space to be partitioned by clinical phenotype, i.e. diarrhea or recovery (Fig. 2A). The original study [22] recognized phases of progression according to equal-time divisions of the diarrhea and recovery periods, respectively, of each patient. Our identification of disease substates, in contrast, is based on community composition and integrated across data from all patients. We found the diarrhea region was further subdivided into two states, 2 and 7 (Fig. 2B). Patients C, E, and G occupied state 7 for prolonged durations immediately before clinical recovery; patients A, B, and F stably occupied state 7 for approximately 20 hours, but switched to other states for the last few time points before clinical recovery (Fig. 2C). In the case of patient A, the final few time points were associated with state 5, which represented an intermediate region of the phase space between the diarrhea- and recovery-associated neighborhoods. These results suggest that state 2 constituted a universal ‘early’ diarrhea state, and state 7 a universal ‘late’ diarrhea state, with distinct community compositions. The original study noted taxa which consistently changed in abundance between the start and end of the diarrhea phase, for example *Streptococcus* and *Fusobacterium* [22], here we show that these compositional shifts are observable on the whole-community scale.

Generally, patients occupied state 7 for longer than they did state 2, suggesting that the stability of the late state in a given patient influences disease duration. To quantify stability, we calculated a temporal correlation function for each state-patient pair during the diarrhea phase. Monotonically decreasing correlation functions indicate metastability; slopes become more negative with decreasing stability. While this analysis revealed that all patients transiently occupied state 2, with greatest persistence in patient C, patients A, C, and E had non-monotonic correlation functions for state 7, coinciding with prolonged times to recovery compared to the rest of the cohort, with patients B and F exhibiting the expected monotonic decrease (Fig. 2D). This indicated that patients A, C, and E repeatedly entered and exited state 7, suggesting that prolonged diarrhea in these three patients may have been additionally influenced by the instability or inaccessibility of alternative, healthy states, and that (re-)assembly of the healthy microbial community constitutes a non-trivial step in recovery.

Dynamics of two healthy adult microbiomes with transient diarrhea

In contrast to the cholera data set, the two healthy adult gut microbiome time series from David *et al.* [8] were separated by subject (Fig. 3A). Despite being clinically healthy for most of the observation period, both subjects’ microbiomes experienced perturbations: subject A traveled from his residence in the United States to southeast Asia, twice experiencing traveller’s diarrhea; and subject B, also based in the US, suffered an acute infection by *Salmonella*. Previous studies [8, 18] noted that, while the microbiome of A returned to its original state after travel, recovery from *Salmonella* left the microbiome of B in an alternative state. Confirming this, we found that subject A occupied the same regions of phase space before and after travel, while subject B occupied disjoint regions before and after infection. We further found that the post-*Salmonella* samples of subject B distributed over several connected components, showing that the gut microbiome of subject B remained in flux across several distinct compositional substates even after being clinically marked as having recovered (Fig 3B).

The large connected components representing the pre- and post-travel healthy samples of subject A and the pre-*Salmonella* healthy samples of subject B were each divided into several states (Supplementary Information Fig. 1), suggesting that the clinical ‘healthy’ phenotype of an individual is a probability over multiple compositionally distinct states. The existence of states in

156 microbiome phase space proposes a novel metric for microbiome resilience: comparing the distri-
157 bution of samples across states between time windows. Subject A occupied states with identical
158 probability before and after travel, exhibiting resilience; in contrast, subject B post-infection did
159 not restore the pre-infection probability across states, despite some samples sharing states with
160 pre-infection healthy samples (Fig. 4A). Thus, the restoration of the microbial community to a
161 ‘healthy’ state cannot be confirmed with a single time point.

162 Temporal correlation functions further showed that subject A, as well as subject B before
163 infection, repeatedly visited the same set of states; in contrast, subject B after infection transiently
164 occupied several states without repetition (Fig. 4B). This shows that not only did the microbiome
165 of subject B enter an alternative state, or probability across states, post-infection, but that this
166 alternative state was not fully stabilized. It is possible that the pre-infection probability across
167 states was restored in subject B after the end of the observational period.

168 Recurrent seasonal dynamics of *Prochlorococcus* communities in the Pa- 169 cific and Atlantic

170 Compared to the phase spaces of human gut microbiomes, which may be discretized by individual
171 or phenotype, the *Prochlorococcus* phase space was organized by gradients of depth (Fig. 5A) and
172 temperature (Supporting Fig. 4), indicating that, in these environments, small changes to envi-
173 ronmental conditions result in small changes to community structure. The phase space possessed
174 multiple states (Fig 5B), with state 4 largely representing shallow fractions of the water column
175 $\leq 100\text{m}$; states 2, 3, and 6 deeper fractions; and state 1 intermediate depths. State 5 represented
176 an infrequently-occupied region sampled only by the 140m fraction at BATS on January 27, 2004,
177 and by the 125m fraction at HOT on January 31, 2008. As such, state 5 possibly constitutes an al-
178 ternative state for deep water fractions in mid-winter. Communities differing in depth rarely shared
179 compositions, and transitioned between states, in many cases periodically across calendar years
180 (Fig. 5C), showing that some communities experienced abrupt periodic shifts in environmental
181 conditions due to geochemical events.

182 Despite the graduated variation of composition with depth and temperature, the range of
183 compositional dissimilarity across the range of environmental conditions is sufficient to constrain
184 given depth fractions to a neighborhood of phase space, such that shallow- and deep-fraction
185 *Prochlorococcus* communities rarely occupy the same compositional states over time (Fig. 5C).
186 However, it is known that the BATS water column undergoes an annual late winter upwelling [28],
187 intermixing communities that otherwise inhabit different depths, and homogenizing environmental
188 conditions across depths. We predicted that mixing would drive communities at all depths at BATS
189 to converge on a common state, while no convergence would be observed at HOT. Accordingly,
190 we observed a transition to state 1 by all depths at BATS in January of each year. After June,
191 depths 1-20m and 120-200m relax toward states characteristic of shallow and deep depth fractions,
192 respectively, while state 1 persists longer in intermediate depths 40-100m. By contrast, no such
193 upwelling occurs at HOT, and the probability of a given depth fraction occupying any state remains
194 uniform over the calendar year; the distribution is especially stationary for shallow depths (Fig. 5C).
195 This periodicity was also evident in periodic correlation functions for BATS, and non-periodic for
196 HOT (Fig. 5D).

197 Robustness of potential estimation

198 Given that the data sets analyzed here are among the largest longitudinal microbiome data sets
199 currently available, we asked whether the biological hypotheses could have been obtained from
200 sparser data sets. We focused on our finding that microbiome phase spaces are structured by
201 latent variables representing host phenotypes or environmental conditions, and examined whether
202 this structuring was robust to data rarefaction. We found that the partitioning of the phase
203 space by clinical phenotype in the case of the cholera patients, by subject in the case of the two
204 healthy adult humans, and the gradation by depth in the case of *Prochlorococcus* communities,
205 are robust to all rarefaction tests performed. In the case of cholera patients, nodes remained
206 divided into those representing mostly samples from the diarrhea phase and those representing
207 the recovery phase, with edges being more dense between nodes of the same phenotype than
208 those of different phenotypes (Supporting Information Fig. 3). In the case of the two healthy
209 adult humans, nodes were consistently dominated by samples from one subject, with edges being

210 more dense between nodes representing the same subject than those representing different subjects
211 (Supporting Information Fig. 4). For the *Prochlorococcus* data set, nodes aggregating samples
212 from similar depth fractions were more densely connected than those representing disparate depths
213 (Supporting Information Fig. 5).

214 Discussion

215 We identified unrecognized dynamics governing large-scale phenotypes in microbial time series
216 data by using TDA to infer the shape of a potential landscape from 16S and ITS ribosomal RNA
217 time series data. Our results reveal the role of latent physiological and environmental variables
218 [29], such as disease phenotype and phase of geochemical cycles, in organizing microbiomes over
219 time. We observed common dynamics across instances of ecological processes in the two gut and
220 one environmental timeseries datasets we studied. Using our approach, one can thus begin to
221 infer general mechanisms that determine large scale phenotypes of clinical and environmental im-
222 portance. The elements of our method—the definition of a metric phase space using the square
223 root of the Jensen-Shannon divergence, the representation of the phase space using TDA, and
224 the characterization of topological features using the adapted kNN density estimator and shortest
225 graph distance searches—are specifically advantageous for analyzing high-dimensional composi-
226 tional data. Compared to representational methods such as PCA, our method benefits from using
227 all distance information; and compared to clustering techniques, our method does not require
228 specifying the number of states, such as required in k-means.

229 While subjects in both human gut data sets experienced transient infection by bacterial pathogens,
230 the large-scale dynamics differed between the two groups. We found that multiple cholera patients
231 followed a trajectory of early- to late-stage disease states. In contrast, the two healthy subjects
232 from the year-long data set experienced apparently random jumps between states during *Salmonella*
233 infection and traveler’s diarrhea, respectively. This discordance between the two human gut mi-
234 crobiome datasets suggests that microbial infections can potentially be classified into ‘ordered’
235 and ‘disordered’ types. Ordered infections are characterized by a reproducible trajectory through
236 phase space, while disordered infections are characterized by unpredictable progression through
237 phase space. The latter case represents a version of the ‘Anna Karenina principle,’ meaning indi-
238 vidual microbiomes are more dissimilar during a particular perturbation than during health [45],
239 while the former represents an inversion of the principle. Scale is likely important in this dis-
240 tinction: independent of the deterministic or stochastic nature of the perturbation induced by
241 an infection, if its magnitude is smaller than ‘baseline’ fluctuations of the healthy microbiome,
242 variations between individuals will remain the dominant variable in organizing the phase space. If
243 the magnitude of the perturbation is larger, it may overwhelm individual variability and cause the
244 phase space to instead appear organized by phenotype. Thus, data on the variability of healthy
245 microbiomes over time between and within individuals will be crucial to characterizing the impact
246 of a given disease on the microbiome.

247 Our analysis of the David *et al.* data set shows that the microbiome of a healthy individual
248 transitions between states over time. While key dominant taxa may persist, no single large-scale
249 compositional state defines healthy physiology. However, an individual microbiome may occupy
250 states with the same probability during two separate ‘healthy’ time windows. Integrating the
251 information over time for each of the healthy periods, the physiological phenotype can be inferred
252 to be stable despite the system state being dynamic. Put differently, if one interprets states as
253 microstates of the microbiome composition, a systemic clinical or environmental phenotype could
254 then be regarded as a *macrostate*, and a resilient ‘healthy’ microbiome will remain in a stable
255 macrostate over time.

256 This notion of resilience as identical probability across states before and after a perturbation
257 can be generalized to a notion of dynamic stability, defined as stationary probability across states
258 over time. Dynamically stable microbiomes do not necessarily stabilize within a single state,
259 but revisit a given set of states with fixed probability. Our temporal correlation analysis shows
260 that dynamically stable microbiomes, such as subject A and subject B pre-infection from the
261 study in [8], are characterized by non-monotonic temporal correlation functions, indicating the
262 microbiome revisits the same states over time. In contrast, unstable microbiomes, such as subject
263 B post-infection, exhibit monotonically decaying correlation functions, indicating the microbiome
264 transiently occupies compositional states without recurrence. Dynamical instability can persist
265 after infection even in the microbiome of an individual clinically marked as having recovered from

266 infection, as in the case of subject B, revealing additional nuances to the association between
267 stability and health in human microbiomes. The ability to assess resilience from data in the absence
268 of detailed knowledge of the underlying network of microbe-microbe interactions complements
269 model-based methods that analytically solve for fixed points and linear stability [5].

270 For the two human gut microbiome data sets, we observe some of the same phenomena as the
271 original studies: for the seven cholera patients, certain taxa were differentially abundant throughout
272 the progression of disease [22]; and for subject B of the two healthy males, that the pre-*Salmonella*
273 microbiome composition was not recovered by the end of the experiment [8]. In the first case, we
274 remark that differential abundance of individual taxa does not necessarily imply the existence of
275 large-scale compositional states consistent across patients and disease phases, such as we describe
276 here. In the second case, we additionally found multiple states in the pre- and post-perturbation
277 healthy phases of both subjects, and showed that restoration of a healthy and resilient microbiome is
278 associated with the recovery not of a specific composition but of a distribution across compositional
279 states.

280 We point out several caveats regarding our method. First, though we defined the phase space
281 using the Jensen-Shannon distance, other metrics may be used, and the results of analysis using
282 different metrics for the same data should be compared in future applications. Second, due to
283 the lack of an established protocol for selecting Mapper hyperparameters, we used a heuristic
284 method to choose their values for our analyses. A more rigorous optimization method is desirable,
285 especially one developed against synthetic data from *de novo* simulations where the ‘ground truth’
286 of the parameters, and thus the shape of the potential landscape, are known *a priori*. Third, we
287 use Mapper to create a representation of the potential landscape, but the landscape and question
288 of whether it is effective to model microbiome dynamics in a given case using a potential landscape
289 are independent of Mapper and TDA, and other methods may be used. Fourth, we assume the
290 data accurately represent the compositions of the sampled communities, when in fact challenges
291 exist with translating sequencing data into compositions [16, 17]; addressing these challenges is
292 outside the scope of this manuscript.

293 In real ecosystems such as those under study, several factors may complicate the basic prediction
294 of the potential landscape that real ecosystems evolve toward configurations of lowest potential,
295 and thus limit predictive power. First, real systems are open to their environment and subject
296 to external perturbation; the dynamics of an ecosystem experiencing strong driving forces may
297 deviate from that predicted by the potential landscape. In addition, strong stochastic fluctuations
298 in microbial populations may weaken the predictive power of the potential landscape; however,
299 in this case, the potential landscape may still form an informative ‘deterministic skeleton’ of the
300 dynamics [1]. Third, high dimensionality may also increase the number and complexity of paths
301 by which the system evolves toward lower potential. Finally, the time scales of sampling may differ
302 from those that are predictable by the potential landscape; for example, the potential landscape
303 may well predict the dynamics of gut microbiome relaxation after a meal on the time scale of
304 hours, but this may not be captured by daily sampling. Nolting [30] and Abbott [1] discuss some
305 of these factors in detail. As above, analysis of synthetic data generated by theoretical population
306 dynamics models may help elucidate the limits of potential landscape inference and prediction.

307 In addition to offering a novel quantitative description of microbiome states and dynamics,
308 we hope our analysis will, in time, facilitate predictive modeling of the dynamics and forecast-
309 ing of major state transitions in the microbiome. As an example, our approach to identifying
310 states from microbial time series can be used to infer state transition probabilities under different
311 conditions, and thus can serve as a basis for fitting the parameters of Markov chain models [9,
312 11]. Alternatively, the theory of critical transition forecasting [6, 7, 26, 37, 36] is closely linked
313 to the concept of the potential: as perturbations destabilize a system, it ascends the potential
314 gradient and eventually reaches a tipping point from where it can rapidly enter into an alternative
315 stable state. Topological analyses, in turn, may enable characterization of the system state and
316 potential based on past observations, and real-time estimation of its stability and state transition
317 probability. Both of these approaches allow modeling and prediction of major dynamical events
318 without detailed knowledge of underlying mechanisms, and may prove pivotal to understanding
319 complex, data-rich biological systems not limited to microbiomes, but also including, for instance,
320 gene regulatory networks and animal ecosystems.

321 Methods

322 Human gut microbiome data and preprocessing

323 The publicly available data that we re-analyzed here were generated by David *et al* [8] accessible
324 on the European Nucleotide Archive (ENA) under the accession number ERP006059, and by Hsiao
325 *et al* [22] on the NCBI Short Read Archive (SRA) under the accession number PRJEB6358. The
326 downloaded reads were trimmed with V-xtractor version 2.1 [21] to ensure the amplicon sequences
327 could be aligned across consistent fractions of the 16S rRNA variable regions. Trimmed reads
328 were then clustered into OTUs at a Levenshtein distance of two using CrunchClust version 43 [20]
329 and classified up to the family level using MOTHUR version 1.36.1 [38] and Silva release 128 [33]
330 reference sequences.

331 *Prochlorococcus* data

332 Data from Malstrom *et al* [28] was obtained from the Biological and Chemical Oceanography Data
333 Management Office (<https://www.bco-dmo.org>), accession number 3381.

334 Mapper

335 Conceptually, the Mapper algorithm accepts as input a matrix of distances or dissimilarities be-
336 tween data, and aims to represent the shape of the distribution of data points in high-dimensional
337 phase space as an undirected graph. In this graph, vertices represent neighborhoods of phase space
338 spanned by subsets of adjacent data points, and edges represent connectivity between neighbor-
339 hoods. In brief, it does this by dividing the data into overlapping subsets that are similar according
340 to the output of at least one filter function that assigns a scalar value to each data point, perform-
341 ing local clustering on each subset, and representing the result as an undirected graph, where each
342 vertex represents a local cluster of data points, and edges between vertices represent at least one
343 shared data point between clusters.

344 Distance matrix

345 We interpreted microbiome relative abundances to be probability distributions, and thus used the
346 square root of the Jensen-Shannon divergence as a metric [24]. However, it is important to note
347 that any other metric can be used in place of the Jensen-Shannon distance, such as an Euclidean
348 calculated from centered [25] or isometric [39] log-transformed relative abundances.

349 Filter functions and binning

350 For the filter functions used by Mapper to bin data points, we performed principal coordinate
351 analysis (PCoA, also known as classical multidimensional scaling) in two dimensions on the pairwise
352 distance matrix, and used the ranked values of principal coordinates (PCo) 1 and 2 as the first and
353 second filter values for Mapper, following Rizvi *et al.* [34]. PCo ranks are an appropriate filter for
354 our purposes, as it assigns similar filter values to points that are relatively close together in the
355 original phase space. We wish to note that while PCoA leads to loss of information, the following
356 local clustering step is performed using subsets of distances from the original distance matrix, and
357 is thus not affected. The data points were then binned by overlapping intervals of the two ranked
358 principal coordinates. For hyperparameters specifying these bins and their overlaps, see Table 1.

359 Local clustering

360 The algorithm first performs hierarchical clustering from all pairwise distances between data points
361 within a bin of filter values. Then, it creates a histogram of branch lengths using a predefined
362 number of bins, and uses the first empty bin in the histogram as a cutoff value, separating the
363 hierarchical tree into single-linkage clusters. The algorithm thus finds a separation of length scales
364 within each neighborhood of phase space represented by a bin of the filter values. We used the
365 default number of histogram bins, 10, for each data set (Table 1).

366 Creating the undirected Mapper graph

367 The final output is produced by representing each local cluster of data points as a vertex, and
368 drawing an edge between each pair of vertices that share at least one data point. When plotting,
369 the size of each vertex represents the number of data points therein.

370 Selection of hyperparameters

371 The Mapper algorithm is relatively new, and there are currently no standard protocols to optimize
372 the values of the hyperparameters. For our purposes, it was important that the algorithm achieved
373 a sufficiently high resolution in partitioning data, but also adequately represented connections
374 between regions of phase space. We thus used the following heuristic to set the number of intervals
375 and percent overlap for each data set.

- 376 1. The largest vertex in the resultant Mapper graph should represent no more than $\approx 10\%$ of
377 the total number of data points in the set;
- 378 2. the number of connected components representing only one data point should be minimized.

379 We acknowledge that a heuristic determination of appropriate hyperparameter values leaves
380 much to be desired; as such, we recommend future in-depth theoretical explorations of how the
381 Mapper output depends on the choice of hyperparameters.

382 Potential estimation

We estimated the potential for each vertex by calculating the k -nearest neighbors (kNN) density [10] for each constituent data point i :

$$\text{kNN}(i, k) = \frac{\sum_j^k d_{ij}}{k} \quad (1)$$

where d_{ij} is the distance between points i and j , choosing k equal to 10% of the number of samples in each data set, rounded to the nearest integer. kNN varies inversely with density, making it a proxy for the potential. For a vertex V representing n points, we define its potential as

$$U(V) = \frac{\sum_{i \in V} \text{kNN}(i, k)}{n^2} \quad (2)$$

383 The n^2 term in the denominator compensates for the differing sizes of vertices.

384 State assignment

We then defined states as topological features of the landscape surrounding local minima of U . We designated each vertex with lower U than its neighbors to be a local minimum of the potential. Connected vertices tied for minimum U were each assigned to be a local minimum. To approximate a gradient, we converted the undirected Mapper graph to a directed graph, with each edge pointing from the the vertex with greater U to the one with lower U . For each non-minimum vertex, we found the graph distance d_g to each local minimum constrained by edge direction. We defined the *state* B_x of a minimum V_x as the set of vertices V with uniquely shortest graph distance to V_x :

$$V \in B_x \text{ if } d_g(V, V_x) < d_g(V, V_y) \quad (3)$$

385 for all $x \neq y$ and $V_y \in M$, where M is the set of all local minima (Fig 1B). Vertices equidistant to
386 multiple minima were defined to be unstable regions unassigned to any state. Multiple connected
387 minima were defined as belonging to the same state. Notably, one data point may be associated
388 with multiple vertices and states, or an unstable region and at least one state: we interpreted this
389 to mean that the point is near a saddle point separating states, and as the ‘true’ coordinates of the
390 saddle point are unknown, the data point is assigned to *all* such states and/or an unstable region
391 with uniform weight.

392 Calculating the temporal correlation function

Given that a system occupied state B_x at time t , we defined the temporal correlation to be the expectation that it will still (or again) occupy state B_x at time $t + \tau$:

$$f_x(t) = \begin{cases} 1 & \text{if system is associated with state } B_x \text{ at time } t \\ 0 & \text{otherwise.} \end{cases} \quad (4)$$

$$\text{corr}_x(\tau) = \langle f_x(t + \tau) \rangle \quad (5)$$

393 We calculated the correlation function for each state x visited by a subject during a characteristic
394 period and for all sampled intervals of length τ , where $f_x(t) = 1$. For the cholera data set, we
395 calculated correlation functions for each state visited by each subject over the disease period. For
396 the data set of two healthy adult males, we calculated correlation functions for each state visited
397 by each subject in each healthy period, either before or after infection. For the *Prochlorococcus*
398 data set, we calculated correlation functions for each state at each depth fraction at either site.
399 Where a data point is associated with multiple states, we weigh the association with each state
400 as $f'_x(t) = \frac{1}{p}f_x(t)$, with p the total number of unique states associated with the system at time t ,
401 with the unassigned/unstable state regarded as a single distinct state.

402 Rarefaction test

403 We created random subsets of each data set representing 90%, 50%, and 10% of the original data
404 points, repeating 10 times for each data set and downsampling ratio. We then created Mapper
405 graphs representing the rarefied data using the same hyperparameters as for each of the full data
406 sets. We colored the vertices to indicate the same features as for the full data sets: for the cholera
407 data set, by fraction of samples belonging to the diarrhea or recovery phase; for the two healthy
408 adult gut microbiomes data set, by fraction of samples obtained from each subject; and for the
409 *Prochlorococcus* data set, by the mean depth from which samples originated. We ordered the
410 vertices by feature value and used a circularized linear layout algorithm, such that vertices with
411 similar feature values are adjacent. Finally, we used shading to display edge densities.

412 Software and data

413 The main repository for the study can be found on GitHub, at [http://github.com/kellylab/
414 microbial-landscapes](http://github.com/kellylab/microbial-landscapes).

415 An open-source implementation of Mapper in R, `TDAmapper`, was used for the main analysis
416 and can be found at <http://github.com/wkc1986/TDAmapper>. This package was forked from the
417 original implemented by Daniel Müllner which is maintained by Paul T. Pearson and can be found
418 at <https://github.com/paultpearson/TDAmapper>.

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422 Author's contributions

423 W.K.C. designed and performed the analysis. D.V. processed and performed OTU calling on the
424 data from Hsiao *et al.*[22] and David *et al.*[8]. W.K.C., D.V., and L.K. wrote the manuscript.

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600

601 **Figures**

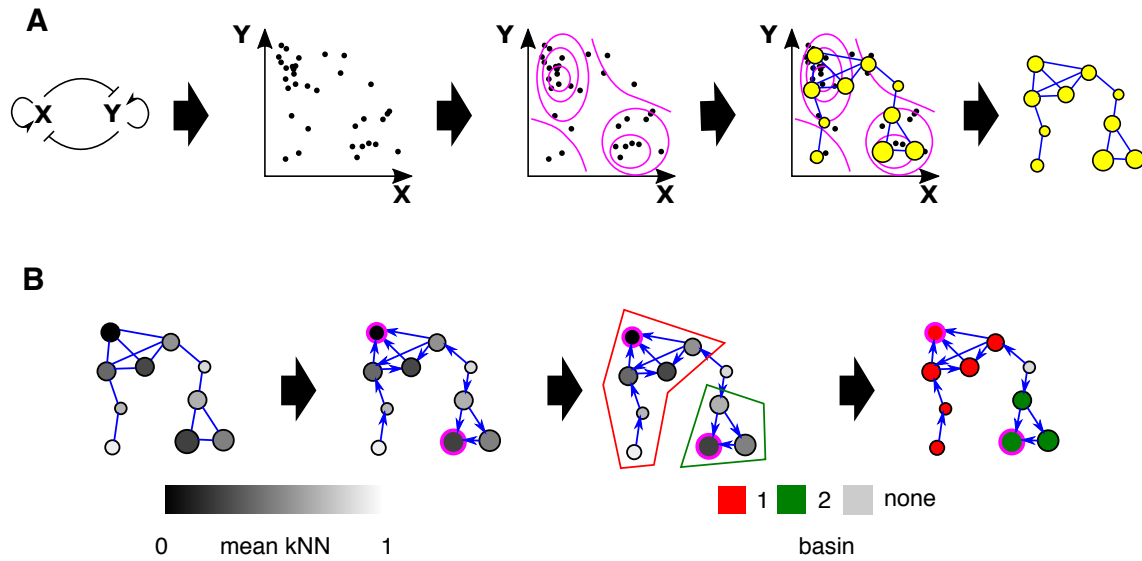


Figure 1: Using Mapper to characterize the microbial phase space. **A.** Using the Mapper algorithm to infer the potential landscape of a toy ecosystem. The mutually antagonistic interaction between species X and Y leads to denser sampling of the phase space where either X or Y is abundant and the other is rare than in other regions; configurations in which X and Y are similar in density are unstable, as small uncertainties in numerical advantage will eventually lead to the dominance of one species over the other. This probability density is analogous to an inverse of the potential landscape. Mapper infers a ‘skeleton’ of density from the data represented as a point cloud. This representation preserves major features of the landscape such as the two densely-sampled clusters separated by a sparsely-sampled region. **B.** Identification of local minima and metastable states in the Mapper graph shown in A. Data density for each vertex is estimated by the mean kNN density (see Methods) for samples associated with that vertex. The graph is converted to a directed graph, with each edge pointing in the direction of increasing kNN density. A local minimum, highlighted in pink, is defined as a vertex that has lower kNN than all its neighbors. Finally, the state associated with a local minimum is defined as the set of vertices that have uniquely shortest directed graph distance to that minimum. Non-minima vertices with equal graph distances to multiple local minima are unassociated with any state (grey).

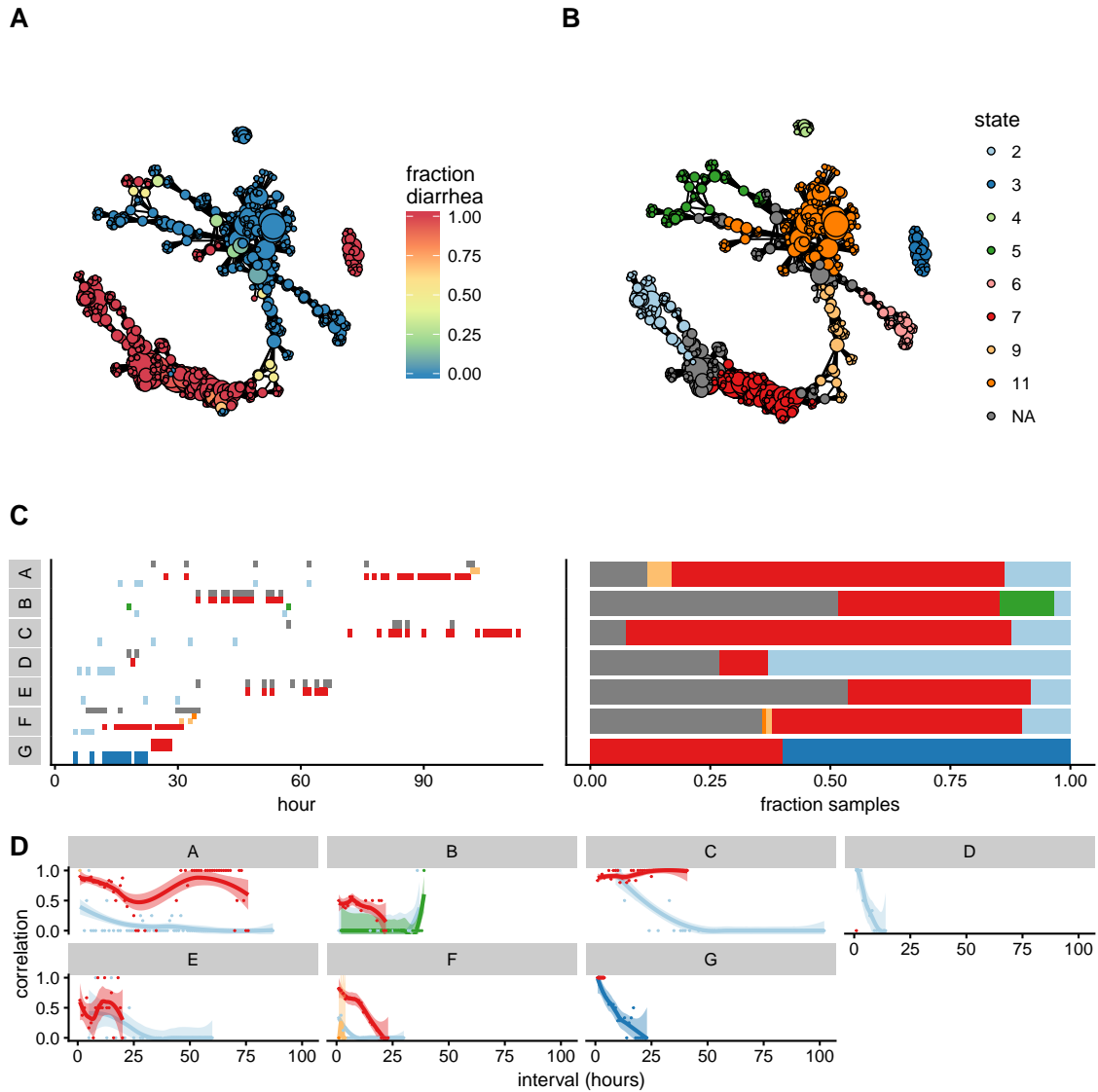


Figure 2: The phase space of the cholera gut microbiome. A. Mapper representation of the combined cholera data reveals disease- and healthy-associated neighborhoods of the phase space. Color: fraction of samples in each vertex associated with diarrhea. Connected components of the Mapper graph representing only one sample are not shown. Disjoint regions of phase space are represented as separate connected components. B. Partitioning of the phase space into metastable states. Vertices unassigned to any state are colored in grey. C. Left: progression of subject compositions during the diarrhea phase by state, showing persistence of states over time. Y axis and color indicate state index, with color indexing as in B. Where a sample was associated with multiple states, all were included. Right: frequency of samples associated with each states during the diarrhea phase for each subject with colors as in B. D. Temporal correlation function for the diarrhea phase of each subject. Lines: smoothed empirical mean; ribbons: standard error of the mean. Values outside the range of $0 \leq y \leq 1$ omitted.

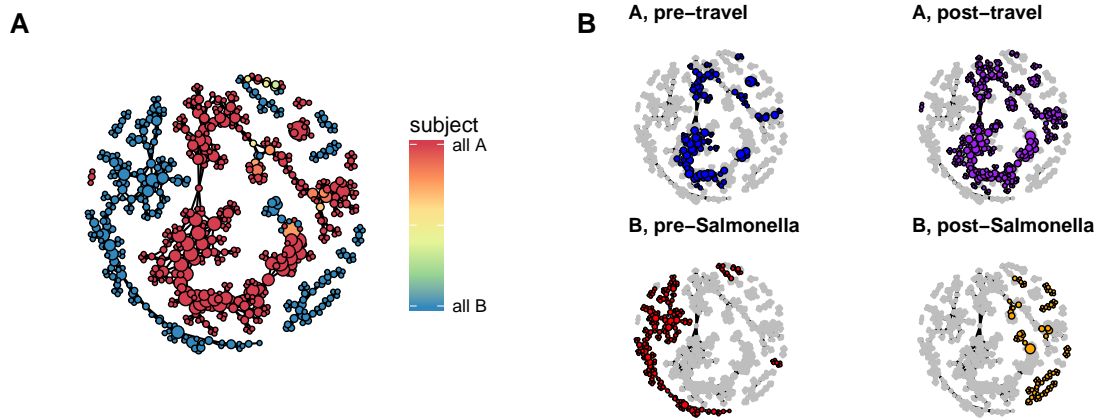


Figure 3: The phase space of two healthy adult male gut microbiomes. A. Mapper representation of the combined daily time series of two healthy adult human gut microbiomes. Connected components of the Mapper graph representing only one sample are not shown. B. Regions of phase space occupied by each subject before after perturbation.

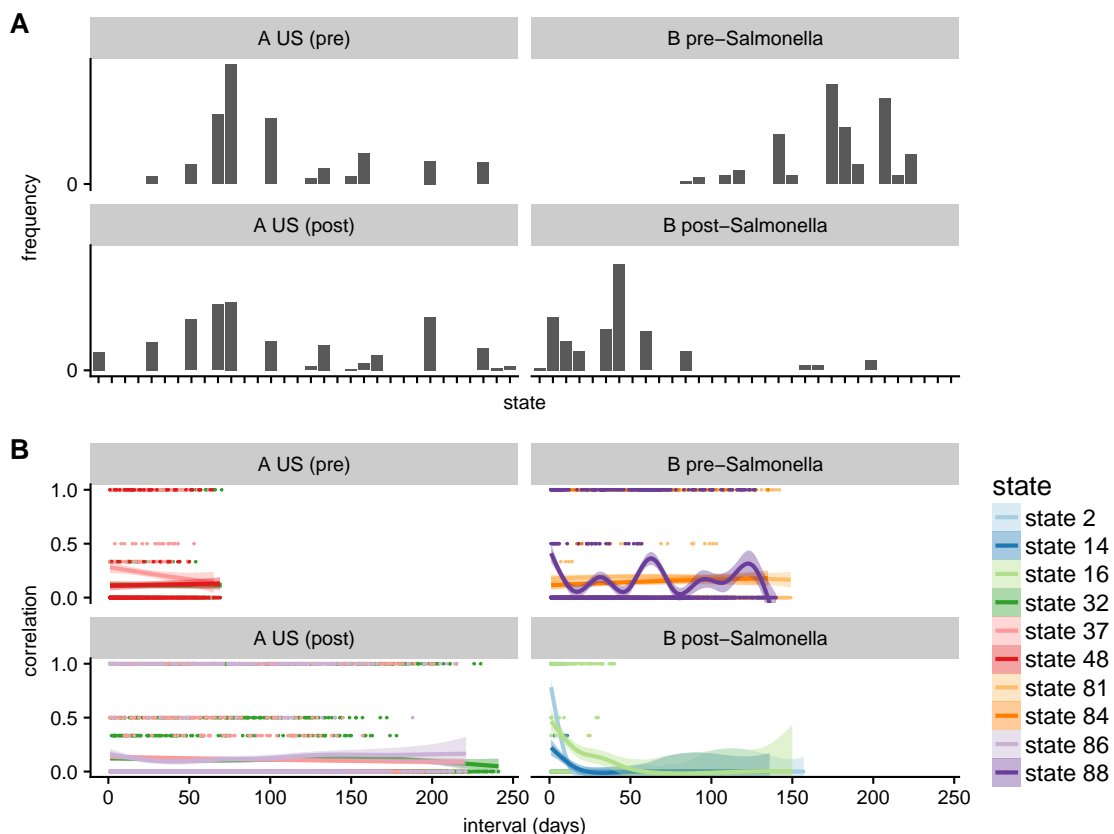


Figure 4: States and dynamics of two healthy adult male gut microbiomes. A. Frequency of states for healthy periods before and after perturbation. X axis: state index. Y axis: frequency of samples. B. Temporal correlation functions for the three most probable states during each event in the 'healthy' phases of each subject. Lines: smoothed empirical mean; ribbons: standard error of the mean.

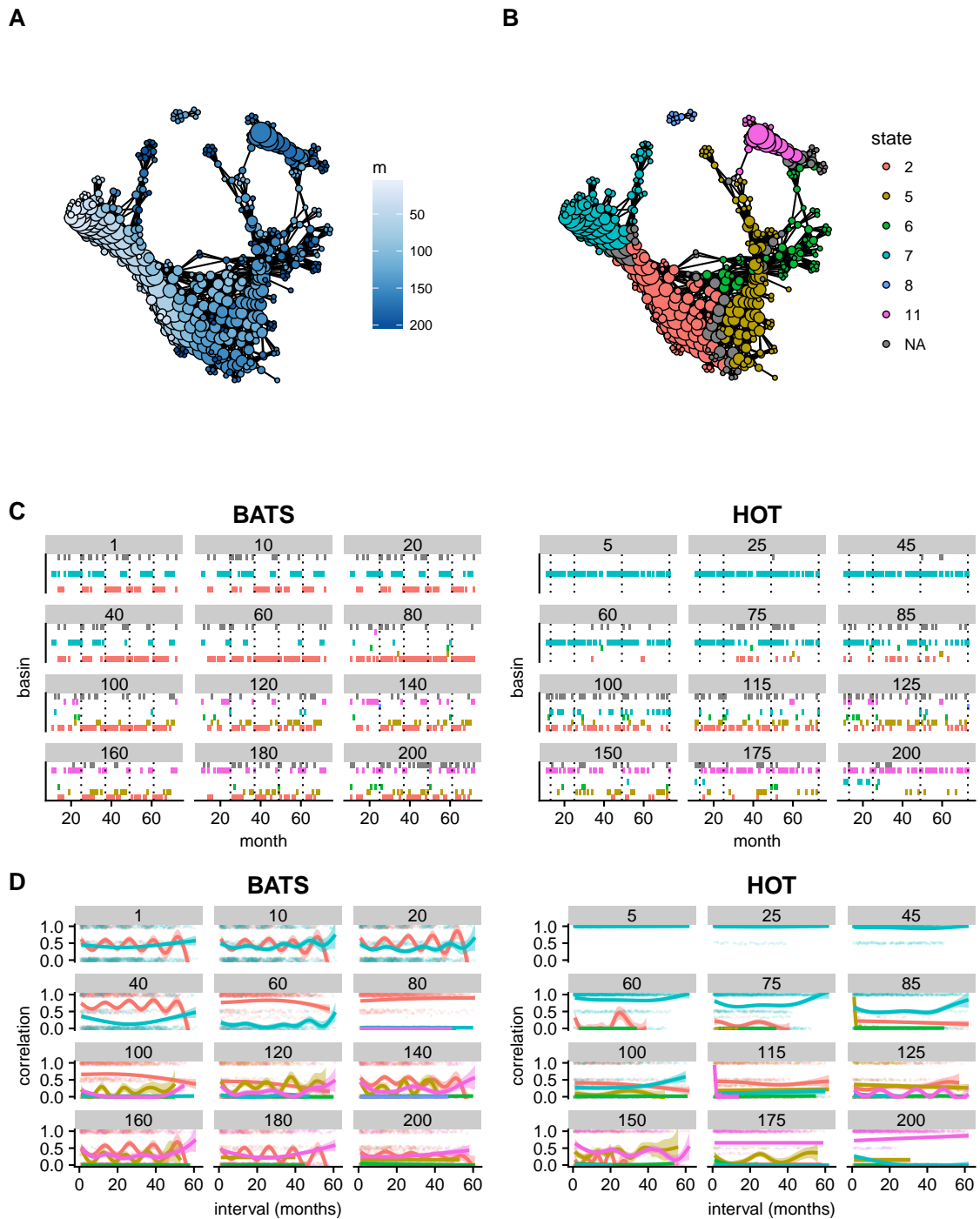


Figure 5: The landscape of *Prochlorococcus* communities. The combined phase space of two *Prochlorococcus* communities inhabiting the Atlantic and Pacific Oceans, respectively. Connected components of the Mapper graph representing only one sample are not shown. A. Vertices colored by mean depth in meters of represented samples. B. Partitioning of the phase space into states. C. Successions of states for each site-depth fraction combination. Dotted lines indicate samples during January. Colors indicate states as in B. D. Temporal correlation functions for each state per site-depth fraction combination.

602 Tables

Data set	# intervals for (rank(PCo1), rank(PCo2))	% overlap	# bins
Cholera	(15, 15)	70	10
Two healthy adult males	(30, 30)	50	10
<i>Prochlorococcus</i>	(20, 20)	60	10

Table 1: Hyperparameters used to generate the Mapper representation of each data set.

603 Additional Files

604 Supplementary information

605 Supplementary figures showing the results of the data rarefaction test. Supplementary figure
606 showing the temperature gradients across the *Prochlorococcus* phase space.