

1 An age-dependent model to analyse the evolutionary  
2 stability of bacterial quorum sensing

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8 **Abstract**

Bacterial communication is enabled through the collective release and sensing of signalling molecules in a process called quorum sensing. Cooperative processes can easily be destabilized by the appearance of cheaters, who contribute little or nothing at all to the production of common goods. This especially applies for planktonic cultures. In this study, we analyse the dynamics of bacterial quorum sensing and its evolutionary stability under two levels of cooperation, namely signal and enzyme production. The model accounts for mutation rates and switches between planktonic and biofilm state of growth. We present a mathematical approach to model these dynamics using age-dependent colony models. We explore the conditions under which cooperation is stable and find that spatial structuring can lead to long-term scenarios such as coexistence or bistability, depending on the non-linear combination of different parameters like death rates and production costs.

9 *Keywords:* Evolutionary stability, Lifestyle switch, Quorum Sensing,  
10 Age-dependent models, Cooperation

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11 **1. Introduction**

12 Cooperation between bacterial cells seems to be the rule rather than the  
13 exception, which has led to the development of a field of research called sociomi-  
14 crobiology (Parsek and Greenberg, 2005). Forms of cooperation often include the  
15 release of public goods, i.e., extracellular molecules that benefit all neighbouring  
16 cells (such as antibiotica, siderophores or certain virulence factors). Some of these  
17 molecules play a crucial role for bacterial nutrition (e.g. exoglycosidase, exopro-  
18 tease). Production and release of public goods is often regulated by bacterial  
19 cell-cell communication (usually termed quorum sensing, QS) using released  
20 signals (autoinducers) (Fuqua et al., 1994). Once a certain environmental con-  
21 centration of autoinducers is reached, which is usually associated with a certain  
22 cell density or number of cells, the population starts a coordinated release of  
23 public goods. The evolutionary purpose of such a control has been described

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24 as guaranteeing a reasonable cost/benefit ratio or efficiency (Hense et al., 2007;  
25 Hense and Schuster, 2015; Darch et al., 2012).

26 Understanding the evolutionary stability of bacterial cooperation is challeng-  
27 ing (Keller and Surette, 2006; West et al., 2007a; Ghoul et al., 2014; Leggett et al.,  
28 2014; Harrington and Sanchez, 2014). “Cheater” mutants (also called “defectors”  
29 or “free riders”), which do not contribute to the cooperation, e.g. which do not  
30 release public goods, are assumed to save costs, although they do benefit from  
31 the public goods provided by cooperators. This theoretically predicted fitness  
32 advantage of cheaters has been confirmed with and without QS regulation *in*  
33 *vitro* and *in vivo* (Diggle et al., 2007; Sandoz et al., 2007; Köhler et al., 2009;  
34 Rumbaugh et al., 2009; Popat et al., 2012; Pollitt et al., 2014). In terms of game  
35 theory, such a behaviour is usually described as prisoners dilemma, where the  
36 non-cooperative behaviour is the dominant strategy (Archetti et al., 2011). This  
37 raises the question, why bacterial cooperation nevertheless exists, i.e., why in  
38 the long term cheaters do not outcompete honest cooperators in nature.

39 With respect to evolutionary stability, QS represents a specific situation  
40 as it involves two levels of cooperation: a) cooperation at the signalling level,  
41 as autoinducers themselves are public goods, b) cooperation on the level of  
42 QS-controlled target genes. Both are prone to cheater mutants.

43 Several mechanisms explaining evolutionary stability of cooperation and QS  
44 have been described (for a recent overview see Ross-Gillespie and Kümmerli  
45 (2014)). The concepts of kin selection and multi-level selection provide additional  
46 approaches from evolutionary theory (Lehmann et al., 2007). In short, these  
47 concepts require assortment by a privileged allocation of the benefits of public  
48 goods to cooperative producers (Damore and Gore, 2012).

49 Spatial structuring of populations is a fundamental principle allowing for  
50 assortment in bacteria. Such separation could serve to stabilize cooperation in  
51 combination with population bottlenecks (Brockhurst, 2007). Spatial structuring  
52 can be caused by environmental heterogeneities, but also by self-organization via  
53 bacterial interactions (Frey and Reichenbach, 2011). In biofilms, for example, cells  
54 and cheaters tend to grow in clusters (Nadell et al., 2010). Both theoretical and  
55 experimental studies (Cremer et al., 2012; Chuang et al., 2009; Melke et al., 2010;  
56 Rumbaugh et al., 2012) showed that under certain conditions, cyclic separations  
57 of the whole population into small subpopulations and subsequent re-mixing  
58 events can protect cooperative behaviour from being completely outcompeted.

59 Studies analysing the influence of fragmentation/re-assortment processes  
60 usually do not discuss specifically how these processes may be realized in nature.  
61 Most bacteria live as free-floating single cells (plankton) or in aggregates, most  
62 frequently attached to surfaces (colonies or biofilms). Fragmentation in colonies  
63 usually works as follows: Aggregates normally start with cells that attach to a  
64 surface and divide while staying together, if the conditions fit. From a growing  
65 colony, eventually cells leave, disperse and found new colonies. Initiating usually  
66 from single cells, such a lifestyle presents an extreme form of fragmentation,  
67 providing in this respect optimal conditions for the maintenance of cooperation.

68 In contrast, the realization of fragmentation in plankton is more challenging  
69 as cyclic spatial structuring will probably only exceptionally occur (e.g. in cases

70 of growth to flocs). Nevertheless, although a number of genes are differentially ex-  
71 pressed under planktonic and attached conditions, QS has been described for both,  
72 meaning QS is not switched off in plankton. Values of quorum sensing parame-  
73 ters have even been reported to be almost identical both under planktonic and  
74 attached conditions (Meyer et al., 2012; Fekete et al., 2010; Buddrus-Schiemann  
75 et al., 2014).

76 QS signalling within microcolonies seems to be isolated to a certain degree  
77 towards signals in the surrounding fluid, which strengthens the degree of separa-  
78 tion (Meyer et al., 2012). Although the amount of production can be assumed to  
79 vary quantitatively depending on the environmental conditions, QS-controlled  
80 public goods as nutritional exoenzymes and siderophores are released in both  
81 life styles (Evans et al., 1994). Accordingly, a number of QS-regulated genes are  
82 expressed both under planktonic and biofilm conditions (Waite et al., 2006).

83 There have been different theoretical (modelling) approaches to investigate  
84 evolutionary stability of cooperation, using a broad spectrum of analytical tools.  
85 For an illustrative review on the evolution of cooperation see West et al. (2007b).  
86 Czárán and Hoekstra (2009) modelled cooperation through cellular automata,  
87 investigating the spatial aspects of cooperation. Since bacteria procreate through  
88 cell division, cells in the vicinity tend to be closely related. In this way, the results  
89 could also be explained by Hamilton’s Rule, which has been used in (Chuang  
90 et al., 2010).

91 Cremer et al. (2012) presented an individual-based model of cooperation in  
92 microbial populations, following the experimental results of Chuang et al. (2009).

93 Garcia et al. (2014) addressed the evolutionary dynamics of attachment and  
94 group cohesion. Frank (2010) presented an ODE model which suggests that it is  
95 the combination of mutation and demographic processes (such as local density,  
96 colony survival and dispersal) which determines the relative fitness of cooperators  
97 versus cheaters. In his model, cheaters are just the endpoint of a continuum of  
98 secretion rates capability.

99 As mentioned, most bacteria switch between two states: attached to surfaces,  
100 which actually represents the main life style of bacteria, and plankton, which  
101 allows to disperse to new niches. A theoretical analysis about evolutionary  
102 stability of (QS regulated) cooperation regarding explicitly the biphasic life style  
103 of these bacteria is missing yet. In this paper, we thus investigate stability of QS  
104 controlled cooperation under such conditions, including mutation rates which are  
105 ignored in most similar models. Our aim is the identification of critical factors  
106 for cooperation and an analysis of the conditions for domination of wildtype  
107 or cheater mutants, or coexistence of both. We hypothesize that cooperative  
108 behaviours like the production of exoenzymes or siderophores, which are expressed  
109 both in plankton and in colonies/biofilms, can be evolutionarily stabilized for  
110 both conditions through inter-subpopulation selection in the colony state.

111 In a generic modelling approach, we will analyse whether and under which  
112 conditions this hypothesis holds. For that purpose we use differential equations,  
113 as in Frank (2010). The model includes a switch between habitation in separated  
114 colonies and in plankton, growth and death, QS-controlled release of a nutritional  
115 exoenzyme, and mutations toward both signal and exoenzyme cheaters. In a first

116 step, we will analyse the model with respect to which parameter sets promote the  
117 long term dominance of honest cells, cheater cells of both types or the co-existence  
118 of both. We first build up our model in section 2 and analyse it mathematically  
119 in section 3. As a second step, we investigate the behaviour of the model through  
120 numerical simulations, using experimentally derived parameters when known. In  
121 particular, the influence of key parameters (such as cooperation costs, number  
122 of colonies and colony death rate) on the stability of the system are tested. The  
123 results are shown in section 4.

## 124 2. The basic age-dependent model

125 As we want to analyse the effect of repeated mixing and separating, our  
126 model will be composed by two parts, namely population dynamics and lifestyle  
127 switch: **plankton**, where the bacteria are well mixed and from which they can  
128 separate to continue growing in **colonies**, the second lifestyle. Every bacterium  
129 in the plankton has an equally distributed chance to do so. Entire colonies can  
130 die out due to external influences, e.g. grassers, while the plankton cannot die out  
131 at once. Additionally, we assume that there are only a limited number of colony  
132 places that are fit for settlements, due to space restrictions. We consider the  
133 important processes in plankton and colonies as similar enough to assign them  
134 the same model, for simplicity's sake, since dropping this assumption would not  
135 change the general outcome of our analysis.

136 For both lifestyles we assume a logistic growth, which we realize through a  
137 density-dependent mortality rate, with parameter  $\mu$ . The bacteria propagate  
138 with a set rate  $r$ , which is enhanced under production of QS-regulated exoenzyme.  
139 Compared to the standard formulation for the logistic growth, this corresponds to  
140 a carrying capacity  $K = r/\mu$ . Therefore the availability of exoenzyme enhances  
141 both the growth rate as well as the environmental capacity. Table A.1 gives an  
142 overview over all occurring variables and parameters.

### 143 2.1. Population dynamics

144 We consider two levels of cooperation, namely QS signal and enzyme produc-  
145 tion. Without double mutations, this translates into three sub-populations: one  
146 cheater that does not produce autoinducer (we call it AI-cheater, and denote it  
147 by  $y$ ); another cheater that does not produce enzyme (we call it enzyme cheater  
148 and denote it by  $z$ ) and a fully cooperative wildtype (which we denote by  $x$ ).  
149 If we take a signal-blind cheater instead of a cheater that does not produce  
150 functional enzyme, our analysis still remains valid. Therefore we will concentrate  
151 on the cheater types  $y$  and  $z$ .

152 We assume that wildtype bacteria turn into cheaters during replication with  
153 a constant mutation rate  $m_y$  or  $m_z$ , respectively, with no reverse or double  
154 mutations, due to the very low probabilities of these happening. Because of the  
155 metabolic costs for signal and enzyme production, the cheaters will have a growth  
156 advantage over the wildtype, which is reflected in different basic growth rates:  
157  $r_x < r_y < r_z$ . In order to keep the effects of mutation better visible, we formulate

158 the mutations as separate terms; the rates  $m_y, m_z$  are to be interpreted relative  
 159 to the replication rates. This interpretation is in line with that of, for example,  
 160 zur Wiesch et al. (2010), connecting the generation of mutants to the population  
 161 size. The model for the three subpopulations then reads:

$$x' = (r_x - \mu(x + y + z))x - (m_y + m_z)x, \quad (1a)$$

$$y' = (r_y - \mu(x + y + z))y + m_y x, \quad (1b)$$

$$z' = (r_z - \mu(x + y + z))z + m_z x. \quad (1c)$$

162 We further assume that the regulated enzyme provides nutrients, which will  
 163 speed up growth with a rate  $r_n \cdot n$ , the main driver of bacterial growth. These  
 164 nutrients are present in a non-digestible form  $\bar{n}$ , which regenerate with a rate  $\bar{n}_0$ ,  
 165 and enzymes  $e$  are needed to turn them into nutrients  $n$ . The resulting equations  
 166 for the two forms of nutrients are:

$$n' = c_1 e \bar{n} - c_2 n(x + y + z) - \gamma_n n, \quad (2a)$$

$$\bar{n}' = \bar{n}_0 - c_1 e \bar{n} - \gamma_n \bar{n}, \quad (2b)$$

167 where  $c_1$  is a measure of the enzyme “efficiency” and  $c_2$  the nutrient uptake  
 168 rate of the bacteria. Additionally, both nutrients have a decay rate of  $\gamma_n$ . Since  
 169 this process is much faster than bacterial growth, we can consider the nutrient  
 170 enzyme dynamic to be in a steady state. It follows from (2):

$$n = \frac{c_1 e}{c_1 e + \gamma_n} \cdot \frac{\bar{n}_0}{c_2(x + y + z) + \gamma_n}. \quad (3)$$

171 We add equations for the QS signal ( $s$ ) and enzyme ( $e$ ) concentrations. While  
 172 there is a baseline production ( $\alpha$ ) for signal, enzyme is only produced in induced  
 173 cells with rate  $\beta_e$ . Every single cell decides whether or not to produce enzyme  
 174 according to the signal concentration. But as we are only interested in the overall  
 175 enzyme production and cells can be induced at slightly different signal levels, the  
 176 overall induction is a sigmoid function of signal concentration. At the same time,  
 177 signal production is induced ( $\beta_s$ ). To model this behaviour, we use a Hill-function  
 178 with Hill coefficient  $h$  and  $\tau$  as the threshold value for induction. This way to  
 179 describe autoinducer dynamics has become quite standard, see e.g. Dockery and  
 180 Keener (2001).

181 In combination with decay rates  $\gamma_s, \gamma_e$  we obtain our basic model:

$$x' = (r_x + r_n n - \mu(x + y + z))x - (m_y + m_z)x, \quad (4a)$$

$$y' = (r_y + r_n n - \mu(x + y + z))y + m_y x, \quad (4b)$$

$$z' = (r_z + r_n n - \mu(x + y + z))z + m_z x, \quad (4c)$$

$$s' = (x + z)\alpha + \beta_s(x + z) \cdot \frac{s^h}{\tau^h + s^h} - \gamma_s s, \quad (4d)$$

$$e' = \beta_e(x + y) \cdot \frac{s^h}{\tau^h + s^h} - \gamma_e e. \quad (4e)$$

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These equations (together with equation (2)) describe the population dynamics of two types of cooperation. If we study the long-time behaviour of model (4) without additions, the cheaters will inescapably drive the wildtype to extinction, due to the mutation rates. To take into account the impact of the different bacterial lifestyles, namely living in plankton and/or in colonies, we include an age-dependent model.

189 *2.2. Lifestyle switch*

190 *2.2.1. Age-dependent model for the colonies*

191 We will use an age-dependent framework to track the amount of time passed  
192 after a colony is colonized. The bacteria living in colonies will be represented  
193 as follows. We assume that there is an arbitrary but fixed number  $L$  of suitable  
194 places for colonies of which  $l(t)$  are empty at time  $t$ , see figure 1. These are  
195 colonized at a rate  $\xi$  when a bacterium encounters them. Since there are three  
196 kinds of bacterial populations, there will be three different types of colonies whose  
197 frequency we denominate by  $u, v$  and  $w$  for colonies colonized by a wildtype, an  
198 AI-cheater or an enzyme cheater, respectively. Finally, these colonies will die out  
199 again with an age-dependent colony mortality rate  $\mu_K(a)$ , where the age of a  
200 colony is defined as the amount of time passed since it was first colonized. We  
201 can therefore put together an age-dependent model of colony frequencies:

$$(\partial_t + \partial_a)u(t, a) = -\mu_K(a) \cdot u(t, a), \quad u(t, 0) = \xi x(t) \cdot l(t), \quad (5a)$$

$$(\partial_t + \partial_a)v(t, a) = -\mu_K(a) \cdot v(t, a), \quad v(t, 0) = \xi y(t) \cdot l(t), \quad (5b)$$

$$(\partial_t + \partial_a)w(t, a) = -\mu_K(a) \cdot w(t, a), \quad w(t, 0) = \xi z(t) \cdot l(t). \quad (5c)$$

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As mentioned before, these colonies have the same basic dynamics as the plankton, which means they follow equations (4) and grow from one cell to their capacity with increasing  $a$ . This implies that we are not able to find an explicit expression for these dynamics (there is no explicit expression for  $f(a)$ ). But given that we are not interested any further in the colonies themselves, the amount of bacteria of type  $\diamond$  in one such colony will just be given by  $\tilde{f}_{*,\diamond}(a)$ , which is dependent on the type of bacteria that started the colony  $*$  and the age of the colony  $a$ . For example  $\tilde{f}_{x,y}(a)$  would denote the amount of AI-cheater bacteria in a wildtype colony of age  $a$ . From those, some will migrate into the plankton and we will call this amount  $f_{*,\diamond}(a)$ . The total amount of bacteria that migrate will be given by

$$p_{x,\diamond}(t) = \int_0^\infty \tilde{f}_{x,\diamond}(a) \cdot u(t, a) \, da \quad (6a)$$

$$p_{y,y}(t) = \int_0^\infty \tilde{f}_{y,y}(a) \cdot v(t, a) \, da \quad (6b)$$

$$p_{z,z}(t) = \int_0^\infty \tilde{f}_{z,z}(a) \cdot w(t, a) \, da \quad (6c)$$

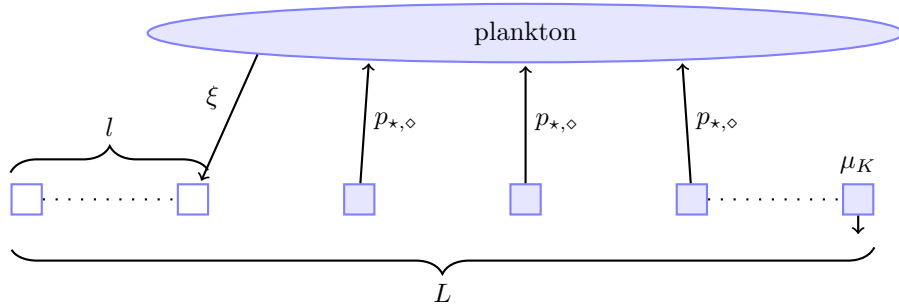


Figure 1: Interactions between plankton and colonies. Empty colony places are colonized at a rate  $\xi$ , from colonies differing amounts  $p_{*,\diamond}$  of bacteria will go into the plankton before they die at a rate  $\mu_K$ .

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215 that is, we integrate over all ages.

216 *2.2.2. Plankton dynamics*

217 To obtain the plankton dynamics, we add the migration terms to the respective  
218 equations.

$$x' = (r_x + r_n n - \mu(x + y + z))x - (m_y + m_z)x + p_{x,x}, \quad (7a)$$

$$y' = (r_y + r_n n - \mu(x + y + z))y + m_y x + p_{x,y} + p_{y,y}, \quad (7b)$$

$$z' = (r_z + r_n n - \mu(x + y + z))z + m_z x + p_{x,z} + p_{z,z}, \quad (7c)$$

$$s' = (x + z)\alpha + \beta_s(x + z) \cdot \frac{s^h}{\tau^h + s^h} - \gamma_s s, \quad (7d)$$

$$e' = \beta_e(x + y) \cdot \frac{s^h}{\tau^h + s^h} - \gamma_e e. \quad (7e)$$

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220 **3. Analysis**

221 Having built our model, we now proceed to analyse it. To give us an indication  
222 whether or not the wildtype will be able to survive in the long term. In the  
223 following section, we will look at the behaviour of the plankton, not the colonies,  
224 because they are dependent on the plankton.

225 *3.1. Stationary states*

226 We determine the stationary solutions of equations (5). Setting  $\partial_t u(a) = 0$   
227 leads to terms of the form

$$u(a) = \xi x l \exp\left(-\int_0^a \mu_K(\tau) d\tau\right). \quad (8)$$

228 We define

$$\theta := \xi \cdot \int_0^\infty \exp\left(-\int_0^{\bar{a}} \mu_K(\tau) d\tau\right) d\bar{a}, \quad \varphi(a) := \frac{\exp(-\int_0^a \mu_K(\tau) d\tau)}{\int_0^\infty \exp(-\int_0^{\bar{a}} \mu_K(\tau) d\tau) d\bar{a}}. \quad (9)$$

229 Since  $\int_0^\infty \varphi(a) da = 1$  holds, we can write down the stationary solutions of  
230 the wildtype colony dynamics as

$$u(a) = xl\theta\varphi(a), \quad (10)$$

231 with  $v(a)$  and  $w(a)$  defined similarly. After a short calculation we obtain

$$l = \frac{L}{1 + \theta(x + y + z)}. \quad (11)$$

232 If we define

$$\hat{p}_{\star,\diamond} = \int_0^\infty f_{\star,\diamond}(a) \cdot \varphi(a) da, \quad (12)$$

233 the colony input rates in the stationary case are

$$p_{x,\diamond} = \frac{xL\theta}{1 + (x + y + z)\theta} \cdot \hat{p}_{x,\diamond}, \quad (13a)$$

$$p_{y,y} = \frac{yL\theta}{1 + (x + y + z)\theta} \cdot \hat{p}_{y,y}, \quad (13b)$$

$$p_{z,z} = \frac{zL\theta}{1 + (x + y + z)\theta} \cdot \hat{p}_{z,z}. \quad (13c)$$

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235 Plugging these results into (7), we can show that there must exist the following  
236 stationary states:

- 237 • the empty state
- 238 • two states with one kind of cheater each
- 239 • a state with wildtype bacteria only (if we disregard mutation rates for a  
240 moment).

241 As the model is too complex to check stability of these steady states through  
242 the Jacobian matrix, we will instead do a spectral analysis.

### 243 3.2. Analysis of the eigenvalues

244 In this analysis, we ask if a stationary point of one type of bacteria can be  
245 invaded by another bacterial type. To this end, we determine the eigenvalues of  
246 (7a)-(7c) in the different stationary states, following the ideas as introduced in  
247 Webb (1985); Müller and Kuttler (2015). If these are positive, the corresponding



248 bacterial type will be able to invade the stationary state. To calculate these  
 249 eigenvalues we first use separation of variables on (5), which leads us to

$$u(t, a) = \xi l x \cdot \exp\left(-\int_0^a \lambda + \mu(\tau) d\tau\right), \quad (14a)$$

$$v(t, a) = \xi l y \cdot \exp\left(-\int_0^a \lambda + \mu(\tau) d\tau\right), \quad (14b)$$

$$w(t, a) = \xi l z \cdot \exp\left(-\int_0^a \lambda + \mu(\tau) d\tau\right). \quad (14c)$$

250 We plug these results into the ansatz  $\lambda \cdot v = f(v)$ , with  $f$  being the functional  
 251 dependency of the right hand side of equations (7a) - (7c).

### 252 3.2.1. Empty state

253 If we only add a few bacteria to the empty plankton state, the density  
 254 dependent death rate as well as the signal- and enzyme production can be  
 255 neglected. Thus, there will be no nutrient enhanced growth and, as all available  
 256 colony places are empty,  $l = L$  holds. With these simplifications the equation  
 257 reads

$$\lambda \begin{pmatrix} \hat{x} \\ \hat{y} \\ \hat{z} \end{pmatrix} = \begin{pmatrix} r_x - (m_y + m_z) + \hat{p}_{x,x,\lambda} & 0 & 0 \\ m_y + \hat{p}_{x,y,\lambda} & r_y + \hat{p}_{y,y,\lambda} & 0 \\ m_z + \hat{p}_{x,z,\lambda} & 0 & r_z + \hat{p}_{z,z,\lambda} \end{pmatrix} \begin{pmatrix} \hat{x} \\ \hat{y} \\ \hat{z} \end{pmatrix}, \quad (15)$$

258 where

$$\hat{p}_{\star,\diamond,\lambda} = \xi L \int_0^\infty f_{\star,\diamond} \cdot \exp\left(-\int_0^a \lambda + \mu(\tau) d\tau\right) da, \quad \text{with } \star, \diamond \in \{x, y, z\}. \quad (16)$$

259 The wildtype will therefore be able to invade the empty patch, if

$$\lambda = r_x - m_y - m_z + \hat{p}_{x,x,\lambda} \quad (17)$$

260 has a positive solution  $\lambda$ . Since the right hand side of this equation is monotone  
 261 decreasing while the left hand side is monotone increasing, it has a positive  
 262 solution if and only if the right hand side is positive for  $\lambda = 0$ . After a short  
 263 calculation, which works similarly for the cheaters, we arrive at the following  
 264 conditions:

$$r_x - m_y - m_z + L\theta\hat{p}_{x,x} > 0 \quad \Rightarrow \quad \text{wildtype able to invade,} \quad (18)$$

$$r_b + L\theta\hat{p}_{b,b} > 0 \quad \Rightarrow \quad \text{cheater able to invade, } b \in \{y, z\}. \quad (19)$$

265 This tells us when a single bacterial type is able to live on its own, without  
 266 other types nearby.

267 *3.2.2. Solely cheaters present*

268 As before, no matter what type of cheater we have, there will be no nutrient  
 269 enhanced growth as either signal or enzyme is produced. But in this situation  
 270 the density depended death rate amounts to  $\mu b_0$ , where  $b_0$  is the number of  
 271 mutants in this steady state. Additionally,  $l$  is reduced to  $\frac{L}{1+\theta b_0}$ . Consequently,  
 272 the eigenvalue equation changes to

$$\lambda \begin{pmatrix} \hat{x} \\ \hat{y} \\ \hat{z} \end{pmatrix} = \begin{pmatrix} r_x - \mu b_0 - (m_y + m_z) + \hat{p}_{x,x,\lambda} & 0 & 0 \\ m_y + \hat{p}_{x,y,\lambda} & r_y - \mu b_0 + \hat{p}_{y,y,\lambda} & 0 \\ m_z + \hat{p}_{x,z,\lambda} & 0 & r_z - \mu b_0 + \hat{p}_{z,z,\lambda} \end{pmatrix} \begin{pmatrix} \hat{x} \\ \hat{y} \\ \hat{z} \end{pmatrix}, \quad (20)$$

273 where

$$\hat{p}_{\star,\diamond,\lambda} = \frac{\xi L}{1 + \theta b_0} \int_0^\infty f_{\star,\diamond} \cdot \exp\left(-\int_0^a \lambda + \mu(\tau) d\tau\right) da, \quad \text{with } \star, \diamond \in \{x, y, z\}. \quad (21)$$

274 As before, we want to find out under which conditions there will be positive  
 275 solutions for  $\lambda$ . Analogously as in the empty patch

$$r_x - \mu b_0 - (m_y + m_z) + \frac{L\theta}{1 + \theta b_0} \hat{p}_{x,x} > 0 \Rightarrow \text{Wildtype able to invade} \quad (22)$$

276 *3.2.3. Solely wildtype present*

277 With a wildtype-only-state we have to incorporate the nutrient enhanced  
 278 growth rate. As we assume a steady state, the amount of nutrient would also  
 279 have stabilised at an amount  $n_0$ . The equation for the eigenvalues thus is

$$\lambda \begin{pmatrix} \hat{x} \\ \hat{y} \\ \hat{z} \end{pmatrix} = \begin{pmatrix} r_x + n_0 r_n - \mu x_0 - (m_y + m_z) + \hat{p}_{x,x,\lambda} & 0 & 0 \\ m_y + \hat{p}_{x,y,\lambda} & r_y + n_0 r_n - \mu x_0 + \hat{p}_{y,y,\lambda} & 0 \\ m_z + \hat{p}_{x,z,\lambda} & 0 & r_z + n_0 r_n - \mu x_0 + \hat{p}_{z,z,\lambda} \end{pmatrix} \begin{pmatrix} \hat{x} \\ \hat{y} \\ \hat{z} \end{pmatrix}, \quad (23)$$

280 which leads to the invasion condition being

$$r_b + r_n n_0 - \mu x_0 + \frac{L\theta}{1 + \theta x_0} \hat{p}_{b,b} > 0 \Rightarrow \text{Cheater able to invade.} \quad (24)$$

281 *3.2.4. Combinations*

282 We can now combine the invasion conditions to look at several scenarios of  
 283 how cheaters and wildtype interact with each other and can thus explore the  
 284 long term effects the parameter constellations have. To simplify notation, we  
 285 will denote the wildtype by  $W$ , a mutant by  $M$  and  $\emptyset$  denotes the empty patch.  
 286 To indicate invasiveness we will use the arrow  $\rightarrow$ , to indicate that an invasion  
 287 cannot happen we will use the negated arrow  $\nrightarrow$ . Broadly speaking, there are  
 288 three different possible outcomes: either mutant and wildtype coexist, one type  
 289 dominates the other or the population dies out.

290 *Coexistence.*

291 **True Coexistence** If every bacterial type is able to invade any of the  
 292 stationary points, this will result in a stable coexistence point. We call that  
 293 “true coexistence”, because here the cheaters form a more or less independent  
 294 sub-population instead of constantly rising anew from the wildtype through  
 295 mutation. For that to happen, the following inequalities must hold:

$$\begin{aligned}
 W \rightarrow \emptyset & & r_x - (m_y + m_z) + L\theta\hat{p}_{x,x} &> 0, \\
 M \rightarrow \emptyset & & r_y + L\theta\hat{p}_{y,y} &> 0, \\
 W \rightarrow M & & r_x - \mu b_0 - (m_y + m_z) + \frac{L\theta}{1 + \theta b_0}\hat{p}_{x,x} &> 0, \\
 M \rightarrow W & & r_y + r_n n_0 - \mu x_0 + \frac{L\theta}{1 + \theta x_0}\hat{p}_{y,y} &> 0.
 \end{aligned}$$

296 Suppose we start out with a patch of only wildtype bacteria. Due to the rates,  
 297 a few cheater bacteria will arise and increase in frequency because  $M \rightarrow W$  holds.  
 298 As a result of  $W \rightarrow M$ , however, the mutants will not drive the wildtype to  
 299 extinction but to a mixed state. The same happens when starting with a mixed  
 300 population. And while at first a cheater-only population will remain that way,  
 301 adding just a few wildtype bacteria will bring the population to the coexistence  
 302 point again. So in this scenario the only stable point is the coexistence point, all  
 303 others are unstable.

304 **Mutant does not spread** Here, the wildtype is able to invade the mutant  
 305 while the mutant cannot invade the wildtype. Whether or not the mutant is able  
 306 to live on its own ( $\nrightarrow$  means invasibility does not matter), in a mixed population  
 307 there will always be primarily wildtype bacteria with a small sub-population of  
 308 mutants, thanks to the mutation. The conditions here are

$$\begin{aligned}
 W \rightarrow \emptyset & & r_x - (m_y + m_z) + L\theta\hat{p}_{x,x} &> 0, \\
 M \nrightarrow \emptyset & & r_y + L\theta\hat{p}_{y,y} &\neq 0, \\
 W \rightarrow M & & r_x - \mu b_0 - (m_y + m_z) + \frac{L\theta}{1 + \theta b_0}\hat{p}_{x,x} &> 0, \\
 M \nrightarrow W & & r_y + r_n n_0 - \mu x_0 + \frac{L\theta}{1 + \theta x_0}\hat{p}_{y,y} &< 0.
 \end{aligned}$$

309 *One bacterial type only.*

310 **Mutant outcompetes wildtype** If the mutant is able to invade the  
 311 wildtype-only state but the wildtype is unable to compete, the mutant will  
 312 outcompete the wildtype no matter the starting condition. The conditions for

313 this to happen are

$$\begin{aligned}
W &\rightarrow \emptyset & r_x - (m_y + m_z) + L\theta\hat{p}_{x,x} &> 0, \\
M &\rightarrow \emptyset & r_y + L\theta\hat{p}_{y,y} &> 0, \\
W &\nrightarrow M & r_x - \mu b_0 - (m_y + m_z) + \frac{L\theta}{1 + \theta b_0}\hat{p}_{x,x} &< 0, \\
M &\rightarrow W & r_y + r_n n_0 - \mu x_0 + \frac{L\theta}{1 + \theta x_0}\hat{p}_{y,y} &> 0.
\end{aligned}$$

314 **Bistability** In this scenario, none of the bacterial types can invade the  
315 others but everyone can invade the empty patch. This means that whichever  
316 type is present first in greater quantities will assert itself. The one-type-only  
317 stationary states will therefore be stable while the coexistence point and the  
318 point of origin are unstable.

$$\begin{aligned}
W &\rightarrow \emptyset & r_x - (m_y + m_z) + L\theta\hat{p}_{x,x} &> 0, \\
M &\rightarrow \emptyset & r_y + L\theta\hat{p}_{y,y} &> 0, \\
W &\nrightarrow M & r_x - \mu b_0 - (m_y + m_z) + \frac{L\theta}{1 + \theta b_0}\hat{p}_{x,x} &< 0, \\
M &\nrightarrow W & r_y + r_n n_0 - \mu x_0 + \frac{L\theta}{1 + \theta x_0}\hat{p}_{y,y} &< 0.
\end{aligned}$$

319 *Extinction.*

320 **Evolutionary suicide** This scenario is very similar to “mutant outcom-  
321 petes wildtype” with one marked difference: the mutant is unable to invade the  
322 empty patch and therefore unable to live by itself. After driving the wildtype  
323 to extinction, the remaining mutant-only population will then die out. As it is  
324 impossible to have a population consisting solely of wildtype bacteria because of  
325 the mutation rate, the bacterial population will become extinct.

$$\begin{aligned}
W &\rightarrow \emptyset & r_x - (m_y + m_z) + L\theta\hat{p}_{x,x} &> 0, \\
M &\nrightarrow \emptyset & r_y + L\theta\hat{p}_{y,y} &< 0, \\
W &\nrightarrow M & r_x - \mu b_0 - (m_y + m_z) + \frac{L\theta}{1 + \theta b_0}\hat{p}_{x,x} &< 0, \\
M &\rightarrow W & r_y + r_n n_0 - \mu x_0 + \frac{L\theta}{1 + \theta x_0}\hat{p}_{y,y} &> 0.
\end{aligned}$$

#### 326 4. Numerical simulations

327 In this section, we present how the model behaves under different parameter  
328 sets. To this end we implement the differential equations in Matlab (Mathworks).

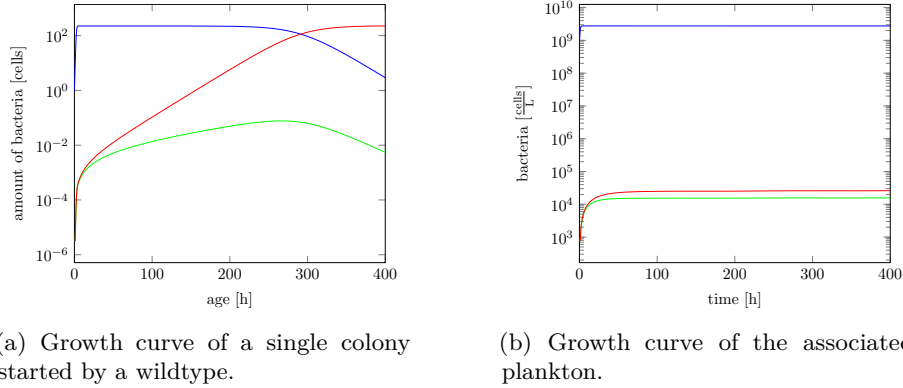


Figure 2: Time course of plankton and colony dynamics with standard parameter values. The blue line represents the amount of wildtype bacteria, the green line denotes the amount of signalcheating mutants and the red line indicates the amount of enzyme cheater. One can see that regular death events are needed to preserve the abundance of wildtype bacteria.

329 The ordinary differential equations were solved numerically with a Runge-Kutta-  
 330 solver. In order to solve the partial differential equations (5), we need to reformulate them. Following the methods mentioned by Webb (1985), we can write  
 331  $u(t, a)$  as  
 332

$$u(t, a) = \begin{cases} 0 & a > t \\ x(t-a)l(t-a)\xi \exp\left(-\int_0^a \mu(s) ds\right) & a \leq t \end{cases} \quad (25)$$

333  $v(t, a)$  and  $w(t, a)$  can be calculated in the same manner. Lastly,  $f_{*,\diamond}(a)$  is  
 334 computed through spline interpolation of the solution curves of our basic model,  
 335 which without colony input, describes the colony dynamics as well. Examples  
 336 for both the colony and plankton dynamic can be found in figure 2. Please note  
 337 that the seemingly very small values for the cheaters in colonies are due to the  
 338 continuous model with non-vanishing mutation rates, also acting for very low  
 339 wildtype cell numbers. They can be interpreted better for a large number of  
 340 colonies, as multiplied by the colony number they express the expected number  
 341 of this cell type in the whole system. The standard set of parameters used in our  
 342 simulations can be found in Appendix A.2. We assume that although cheaters are  
 343 able to survive on their own, the benefit derived from secreting the enzyme ( $r_n \cdot n$ )  
 344 is the main driver of bacterial growth. For the simulation, we used a fixed volume  
 345 for the planktonic phase of  $1 \times 10^{-8}$  L. Because the long-term development is  
 346 foreseeable after a short time span, we stopped our calculations at  $t = 400$ .

#### 347 4.1. Colony number

348 We start by exploring how changing of the number of available colony places,  
 349  $L$ , influences the behaviour of the solution. We find that cooperation collapses  
 350 in simulations as long as  $L \leq L_0$  (Fig. 3). It is not possible to calculate a  
 351 closed expression for this critical value  $L_0$ , but one can see that  $L_0 = 80$  in

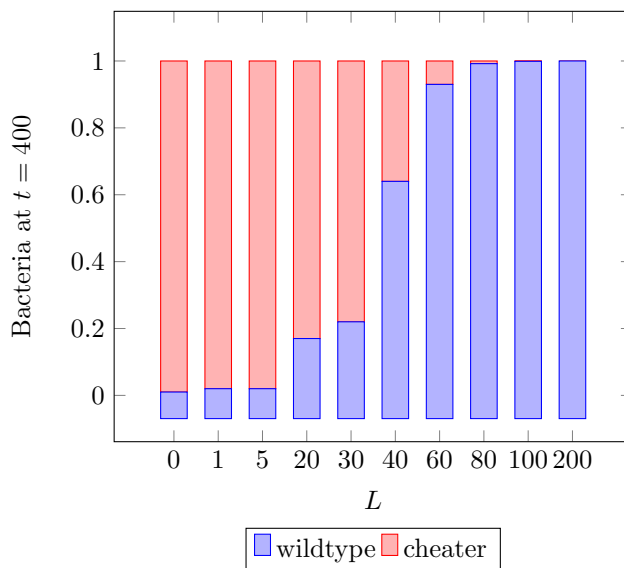


Figure 3: Influence of colony number  $L$  on the survival of wildtype against mutant. Ratio between wildtype and cheater after  $t=400$ . In scenarios with  $L \leq 80$ , the wildtype will die out in the long term, whereas in scenarios with  $L > 80$  the wildtype dominates cheaters in long term equilibrium. Parameter values can be found in section Appendix A.2

352 our calculations. The more  $L$  approximates to  $L_0$ , the more time it takes until  
 353 cooperators are outcompeted, which is reflected by an increasing fraction of  
 354 cooperators for  $t \geq 400$  in figure 3. For  $L > L_0$ , cooperators dominate, although  
 355 a small number of cheaters may still be present. Cooperation is thus stabilized  
 356 more if the proportion of bacteria in colonies is high compared to the number of  
 357 bacteria in plankton.

#### 358 4.2. Enzyme production cost

359 By raising the production cost for the enzyme, we reduce the reproduction  
 360 rates for the wildtype and the signal cheater,  $r_x$  and  $r_y$ . As suspected, this  
 361 destabilizes cooperation, although this effect is markedly decreased if the benefit  
 362 of cooperation, represented by  $r_n$ , is high. See figure 4 for illustration.

363 We did the same calculations with higher signal production cost. The figure is  
 364 omitted here, because the long-term behaviour remains the same. If the wildtype  
 365 dies out, the dominating type will always be the mutant with the highest growth  
 366 rate which means the lowest metabolic costs. If we assume that enzyme is more  
 367 costly than signal, then the dominating type will always be the enzyme cheater,  
 368 thus rendering changes in the signal cost irrelevant for the long term dynamic.

#### 369 4.3. Colony death rate

370 The effect changes of the colony death rate  $\mu_K$  have on the wildtype-mutant-  
 371 dynamic is not so straightforward. If the colony death rate is very high, colonies



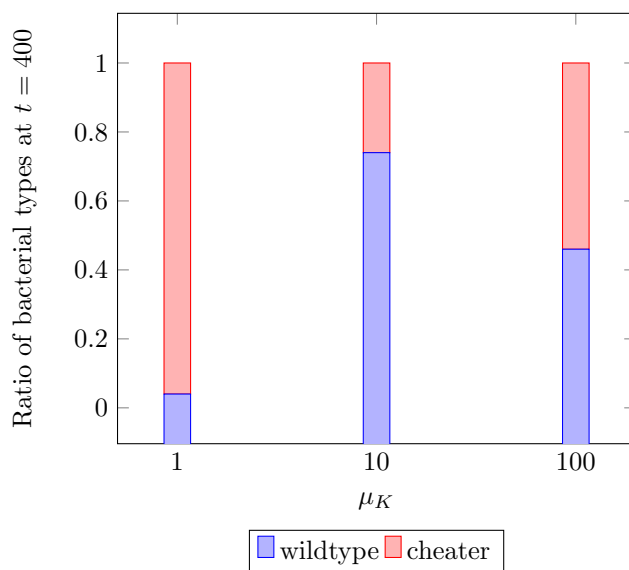


Figure 5: Influence of colony death rate on the survival of wildtype against mutant. Parameter values can be found in the Appendix A.2

372 will not grow to large numbers meaning that the colony influence on plankton is  
 373 low. This, in turn, leads to a cooperation decline. On the other hand, if the colony  
 374 death rate is very low, the amount of wildtype bacteria in the colonies will decline  
 375 through mutation and subsequent growth of mutants. An intermediate death rate  
 376 rate is most favourable for cooperation stability. The corresponding simulation  
 377 can be found in figure 5.

## 378 5. Discussion

379 The main results of our study are:

- 380 • Switch between growth in colonies and in biofilms can promote evolutionary  
 381 stability of QS-regulated cooperation in plankton
- 382 • The specific combination of different parameters as described in chapter  
 383 3.2.4 determines the outcome, whereby both low costs and high benefit of  
 384 cooperative traits promote cooperators. The same holds for high carrying  
 385 capacity for pure wildtype colonies and low carrying capacity for cheater  
 386 colonies.
- 387 • Depending on the parameter values, four different types of long term  
 388 equilibria could be achieved: Cheater dominates, wildtype dominates, co-  
 389 existence of both, bistability.
- 390 • Values of one parameter unfavourable for cooperation can to some degree be  
 391 compensated by more favourable values in other parameters. Exemplarily,



392 high costs of cooperation can be compensated by high number of colony  
393 patches in combination with high benefit of cooperation in a way as  
394 described in chapter 3.2.4.

395 Some parameters, such as high number of patches for colonies, and high  
396 switching rate from plankton to colonies tend to promote true coexistence.  
397 These factors can be described as promoting the influence of colonies in  
398 the system under investigation. In nature, this would indicate a high ratio  
399 between the size of the surface area suitable for colony growth and the  
400 volume of the plankton.

- 401 • There exists an optimum with respect to colony death rate, as too high or  
402 too low rates promote cheaters.

403 Our study shows that a switch between plankton and biofilm state can  
404 promote evolutionary stability of QS-controlled cooperation. Most bacterial  
405 species regularly undertake such switches. We thus suggest that the results  
406 contribute to the explanation of the evolutionary puzzling fact that in well-mixed  
407 planktonic cultures most, if not all, QS systems are expressed and control a  
408 specific set of highly costly target genes. A prerequisite for this stabilization is  
409 that QS controls genes under both planktonic and biofilm modes of growth.

410 Low costs of cooperation and high carrying capacity for the wildtype in  
411 combination with high death rate in plankton tend to inhibit spread of mutants,  
412 whereas high mutation rates, high carrying capacity for mutant and low benefit  
413 promote mutants. The basic growth rate of wildtype and cheaters and the growth  
414 rate promotion by QS-regulated exoenzyme hereby reflect costs and benefit of  
415 cooperation.

416 Factors promoting the relevance of colonies in relation to plankton may enable  
417 true coexistence, for example when cell death rate and carrying capacities of  
418 both populations in plankton are not too large. In contrast, large death and  
419 carrying capacities rates for wildtype and mutants in plankton, in combination  
420 with low values of colony patch number, growth rates and benefit of cooperation,  
421 may under certain cases result in bistability, i.e. in an assertion of the cell type  
422 which is present first.

423 High benefits and low costs promote stability of cooperation, as described for  
424 other scenarios (Hummert et al., 2010; Ruppin et al., 2010; Chuang et al., 2010;  
425 Xavier et al., 2011; Schuster et al., 2010). The amount of available substrate for  
426 the exoenzyme, i.e., nutrient concentration, determines the benefit of exoenzyme  
427 production. If, as in our set-up, costs for target genes are higher than costs of  
428 signal production, signal-blind- or target gene mutants will dominate over mutants  
429 of signal production. This will depend on the frequencies of mutants found, as  
430 it has been shown in *in situ* experiments such as clinical samples of pathogens  
431 (Strateva and Mitov, 2011; Cullen and McClean, 2015; Pollitt et al., 2014). For  
432 reasons of compactness, we only analysed a target gene mutant, omitting a signal  
433 blind mutant. As the signal induces its own production, and because in reality  
434 most signals control more than one costly target gene, both types of cheaters  
435 will gain quantitatively different outcomes. However, qualitatively our results

436 will hold.

437 Generally, plankton tends to destabilize cooperation, whereas colony growth  
438 tends to stabilize it. Therefore, all parameters affecting the interrelationship  
439 between both have significant influence. The relevance of “colony death rates”  
440 implies that external disturbing factors such as grazers or death of hosts affect  
441 stability of cooperation. Similar effects are caused by other events that interfere  
442 with the life span of e.g. colonies, such as self-induced disorganization of whole  
443 colonies (Cárcamo-Oyarce et al., 2015).

444 In our model, higher numbers of available colony patches promote coopera-  
445 tion. Ultimately, the relation between available space for plankton growth, which  
446 was kept constant in our model, and potential for colony growth is critical. In  
447 accordance with our modelling results, spatial structuring in separated micro-  
448 colonies connected in a limited way by free floating cells has been reported to  
449 stabilize QS- cooperation in *Bacillus thuringiensis* during infections of larvae of  
450 the diamondback moth and in *Plutella xylostella* (Zhou et al., 2014). The same  
451 has been shown for siderophore production by *Pseudomonas fluorescens* in soil  
452 (Luján et al., 2015).

453 Most game theory approaches employed to study cooperation assume a  
454 linear relation between cost and benefit (such as prisoner’s dilemma or snow  
455 drift)(Damore and Gore, 2012; Archetti et al., 2011; Nowak et al., 2010). In many  
456 cases, this relation can better be described by a non-linear term, often including  
457 saturation effects (Hense and Schuster, 2015; Chuang et al., 2010; MacLean et al.,  
458 2010). Exemplary, in case of an increasing amount of exoenzymes released by  
459 an increasing number of cells, the benefit (amount of transformed substrate or  
460 the increases of growth rate) obviously saturates. In other cases, benefit may be  
461 described as sigmoid or stepwise function of costs (Archetti et al., 2011; Popat  
462 et al., 2015).

463 Our model contains non-linearity of benefits as nutrients are limited. Conse-  
464 quently, during growth of plankton and microcolonies, the benefits/cost ratio  
465 declines affecting the outcome with respect to evolutionary stability of coopera-  
466 tion. Interestingly, non-linearity has been identified as a factor which can under  
467 certain conditions promote cooperation independent on assortment, allowing for  
468 co-existence of cooperators and cheaters (Frey and Reichenbach, 2011; Archetti  
469 et al., 2011; Perc et al., 2013; Zhang et al., 2013) . As a prerequisite, benefit has  
470 to be a concave function of costs and there needs to be an intersection between  
471 the curves describing cooperator, respectively cheater fitness. In our model, such  
472 an intersection does not exist, so non-linearity tends to weaken cooperation at  
473 high densities of cooperators as the benefits saturate while the costs remain.

474 Depending on parameter values, four different outcomes in the long term  
475 are predicted in our study. A) Only cheaters survive, B) Cheaters are repressed,  
476 i.e. only a low amount of cheaters, arisen from recent mutations, exist, C) true  
477 coexistence and D) bistability. A) can be easily explained by a dominance of  
478 the fast growing cheaters. Here, effect of colony growth is insufficient to rescue  
479 cooperation. In C) we have an equilibrium between within- and between group  
480 selection. Outcome B) seems surprising at first sight, however very low costs  
481 ( $r_x \approx r_y$ ) have been reported to promote such a game of harmony-scenario (1194),

482 together with a high benefit ( $x_0, \hat{p}_{x,x} \gg b_0, \hat{p}_{y,y}$ ). Interesting is the bistability  
483 in D). Here, no strain can invade the other strain. Such a behaviour is promoted  
484 when the competition for resources is high, but benefit and cost of cooperation  
485 are low.

486 Co-existence is enabled by negative frequency dependencies of fitness in both  
487 strains (cheaters and wildtype). In contrast, bistability reflects a scenario with  
488 positive frequency dependency of fitness for all strains (Damore and Gore, 2012).  
489 For both scenarios, examples have been described for non-spatially structured  
490 environments. However, these examples required specific properties such as green  
491 beard genes (promotion of bistability) or privileged share, i.e. if a fixed amount  
492 of benefit is directly redirected to the producer of the public good (Gore et al.,  
493 2009). Although our generic model does not include such privileged assortment,  
494 the assumption of complete separation has a similar effect.

495 There is increasing evidence that cooperation found in nature may be more  
496 often connected with co-existence of cooperators and non-cooperators, rather  
497 than with populations in which all cells contribute to cooperation. This may seem  
498 comprehensible due to the fact that mutations, which always occur, may more  
499 frequently switch from cooperator to cheater than vice versa. However, our study  
500 indicated under which conditions true co-existence in equilibrium may be the  
501 result of counteracting driving forces, in our case between within-group selection  
502 (benefiting cheaters) and between group selection (benefiting cooperators).

503 Beyond pure cheaterism, co-existence of cooperators and non-cooperators  
504 may have other implications. Under certain conditions, it might be advantageous  
505 for the fitness of populations if only a fraction of the population contributes  
506 to cooperation (Elhanati et al., 2011; Perc et al., 2013; Diard et al., 2013;  
507 MacLean et al., 2010). This especially holds if non-cooperators, possibly by chance,  
508 express other properties beneficial for the population as shown in *Pseudomonas*  
509 *fluorescens*, where “cooperators” optimize access to nutrients by building biofilms,  
510 whereas “cheaters” have better dispersal traits, allowing cells to spread and occupy  
511 new locations (Rainey and Kerr, 2010; Rainey and Rainey, 2003). Note that the  
512 notions “cooperators” and “cheaters” increasingly loose sense in such examples.

513 Even for QS, a strategy which due to the existence of positive feedback  
514 loops in most species (e.g. signal induced signal production) was assumed to  
515 enable an all-or-none behaviour, co-existence of QS active and defective strains  
516 may not always be explained by cheaterism, but at least sometimes reflects  
517 division of work in isogenic populations (Anetzberger et al., 2009; Pradhan and  
518 Chatterjee, 2014). Thus, co-existence observed in nature has to be interpreted  
519 with care. The question whether it represents rather cheaterism or division  
520 of work is not always straightforward and requires thorough ecological and  
521 evolutionary investigations, but the distinction might be relevant from various  
522 perspectives, including development of adequate treatment strategies, e.g. for  
523 antibiotic substitution (Schuster et al., 2013; Brown et al., 2009). Mechanistic  
524 models as the one presented here can be valuable tools.

525 Several other factors promoting stability of QS controlled cooperation have  
526 been reported, namely heterogeneity of cooperation between cells (Perc et al.,  
527 2013; Pérez-Velázquez et al., 2015), stochastic fluctuations (Houchmandzadeh,

528 2015), pleiotropy (Dandekar et al., 2012; Foster et al., 2004; Wang et al., 2015;  
529 Strassmann et al., 2011), punishment of social cheats (Friman et al., 2013), costly  
530 over-expression of certain QS regulated genes in QS defective mutants (Oslizlo  
531 et al., 2014; Wilder et al., 2011), negative feedback loop on the public good  
532 production (Gore et al., 2009) and preferred adhesion of cells with identical  
533 cooperative behaviour (Rainey and Rainey, 2003; Strassmann et al., 2011).  
534 Interestingly, QS itself is a strategy to limit development of cheaters, as it limits  
535 costly and thus exploitable production of public goods (Czárán and Hoekstra,  
536 2009; Perc et al., 2013; Travisano and Velicer, 2004; Popat et al., 2015).

537 Our approach can be interpreted both in terms of multilevel and kin selection  
538 (West et al., 2006). Colony patches may be regarded as main entities of between-  
539 group selection connected by plankton, whereas within-group selection occurs  
540 in the patches as well as in plankton. However, new colonization of patches  
541 also represents a realization of kin selection, as all cells within a patch descend  
542 from a single founder cell. This extreme bottleneck set-up allows for cyclic  
543 complete separation of cooperators and cheaters, supporting an almost complete  
544 suppression of cheaters under suitable conditions. However, such an extreme  
545 set-up is not a *sine qua non* condition. In reality, many bacteria grow rather in  
546 large biofilms, composed of a number of independently founded microcolonies.  
547 However, spatial assortment can maintain, or may even develop in completely  
548 mixed, growing biofilms under certain conditions, as long as mechanisms of  
549 mixing, e.g. mobility of single cells in the biofilms, do not dominate (Kerr et al.,  
550 2002; Rumbaugh et al., 2012; Nadell et al., 2010). Even more, the assumption  
551 that plankton is ideally well mixed probably does not necessarily always hold  
552 in reality. Transient assortments of cooperative cells, respectively public goods,  
553 may exist due to limited diffusion rates or limited connection between planktonic  
554 subpopulations in highly structured environments such as micro cave systems in  
555 porous soil or within hosts. It remains to be investigated to which degree such  
556 weaker forms of separation can support cooperation. Note that too low diffusion  
557 rates may turn QS useless and, in extreme cases, eventually may change a public  
558 good into a private good (Czárán and Hoekstra, 2009). Furthermore, plankton  
559 and colonies are not fully separated, as shown by influence of autoinducers  
560 produced in biofilms on plankton in overlying fluid (Nigaud et al., 2010).

561 Our model has some simplifications which we assume not to interfere with the  
562 qualitative outcome. We chose the QS-related parameters of signal productions  
563 rates and threshold to be constant and identical for plankton and colonies, in  
564 accordance with the results of a series of studies of *P. putida IsoF* QS system  
565 (Meyer et al., 2012; Buddrus-Schiemann et al., 2014; Fekete et al., 2010). The  
566 model does not consider gradients of signals, which occur in colonies, biofilms or  
567 between biofilms and plankton (Hense et al., 2012).

568 Similarly, it is clear that neither the fitness benefit provided by public goods  
569 nor the costs of their production are necessarily constant, as assumed in the model,  
570 but can vary spatio-temporally depending on the environmental conditions. For  
571 example, fitness costs for public good production may be low when resources  
572 for their production are available in high amounts, i. e. when these resources do  
573 not limit growth (Brockhurst et al., 2008). The so-called metabolic prudence

574 concept, which has gained some experimental support, states that cells tend  
 575 to induce the production of public goods under low/no cost conditions (Xavier  
 576 et al., 2011; Mellbye and Schuster, 2014). Analogously, the fitness benefit of  
 577 producing exoenzymes depends, for instance, on the availability of their substrate.  
 578 Information about substrate availability may also be integrated into the regulation  
 579 network (Schaefer et al., 2008; Darch et al., 2012).

580 Further evidence shows that regulation of public good production by environ-  
 581 mental factors production is often integrated into the QS system (Juhas et al.,  
 582 2005; Hense and Schuster, 2015). Generally, it has been suggested that optimal  
 583 QS regulation with respect to benefit and costs depends on the properties of  
 584 the public good, e.g. on the way how its benefit is realized (Cornforth et al.,  
 585 2012; Heilmann et al., 2015). Hense et al. (2012) suggested that this complex  
 586 regulation in QS can be understood as a hybrid push-pull control to optimize  
 587 the cost/benefit interplay, where “push” refers to the potential strength of regu-  
 588 lated public good activity, and “pull” to the cells’ demand of the public good.  
 589 The spatio-temporal dynamics of costs and benefit therefore have an important  
 590 impact on the evolutionary stability of QS and could represent an interesting  
 591 extension of our work.

592 Our model focusses on the stability of cooperation versus cheater mutants  
 593 and is not dedicated to explain the evolutionary development of cooperation,  
 594 which might often occur in small steps. The latter task requires different methods,  
 595 e.g. tools of adaptive dynamics.

596 Understanding under which conditions cheaters arise or existence of coop-  
 597 erators and non-cooperators in equilibrium emerges is of high interest, e.g. in  
 598 developing treatment strategies. Our study sheds light on the question how  
 599 switches between plankton and attached mode of growth can contribute to this.

## 600 6. Acknowledgement

601 We thank Johannes Müller (Technical University Munich, Germany) and  
 602 Martin Ehler (University of Vienna, Austria) for their support and helpful dis-  
 603 cussions.

## 604 Appendix A. Variables and Parameters

605 *Appendix A.1. Table of used variables and parameters*

Table A.1: Table of all occurring variables and parameters.

| Name      | unit                                  | stands for                               |
|-----------|---------------------------------------|--|
| $\alpha$  | $\frac{\text{mol}}{\text{L cells h}}$ | basic production rate of signal molecule |
| $\beta_e$ | $\frac{\text{mol}}{\text{cells h}}$   | induced production rate of enzyme        |

Table A.1: Table of all occurring variables and parameters.

| Name                       | unit                                  | stands for  |
|----------------------------|---------------------------------------|---|
| $\beta_s$                  | $\frac{\text{mol}}{\text{L cells h}}$ | induced production rate of signal molecule  |
| $\gamma_e$                 | $\frac{1}{\text{h}}$                  | enzyme degradation rate   |
| $\gamma_n$                 | $\frac{1}{\text{h}}$                  | nutrient degradation rate   |
| $\gamma_s$                 | $\frac{1}{\text{h}}$                  | signal molecule degradation rate  |
| $\theta$                   | $\frac{1}{\text{cells}}$              | measure for the lifespan and recolonization frequency of colonies   |
| $\mu$                      | $\frac{1}{\text{cells h}}$            | bacterial death rate in plankton  |
| $\mu_K$                    | $\frac{1}{\text{cells h}}$            | death rate for the colonies   |
| $\mu_{K_{\text{kolonie}}}$ | $\frac{1}{\text{cells h}}$            | bacterial death rate in colonies  |
| $\xi$                      | $\frac{1}{\text{cells h}}$            | recolonization rate of empty colony patches   |
| $\tau$                     | $\frac{\text{mol}}{\text{L}}$         | threshold value for induction   |
| $\varphi$                  | $\frac{1}{\text{h}}$                  | normed measure for the survival chances of colonies   |
| $b_0$                      | cells                                 | number of bacteria from an arbitrary cheater type in a stationary state   |
| $c_1$                      | $\frac{1}{\text{mol h}}$              | effectiveness of enzyme   |
| $c_2$                      | $\frac{1}{\text{cells h}}$            | nutrient uptake of bacteria   |
| $e(t)$                     | mol                                   | existing amount of enzyme at time $t$   |
| $f_{\star, \diamond}(a)$   | cells                                 | number of bacteria of type $\diamond$ that migrate into plankton from colonies of age $a$ that were started by type $\star$ |
| $h$                        |                                       | Hill coefficient  |
| $l(t)$                     |                                       | number of empty colony places at time $t$   |
| $L$                        |                                       | total number of colony places available   |
| $m_y$                      | $\frac{1}{\text{h}}$                  | mutation rate from wildtype bacteria to AI-cheaters   |
| $m_z$                      | $\frac{1}{\text{h}}$                  | mutation rate from wildtype bacteria to enzyme cheaters   |
| $n(t)$                     | mol                                   | amount of digestible nutrient at time $t$   |
| $n_0$                      | mol                                   | amount of digestible nutrient in a stationary state   |
| $\bar{n}_0$                | $\frac{\text{mol}}{\text{h}}$         | nutrient regeneration rate  |

Table A.1: Table of all occurring variables and parameters.

| Name                       | unit                          | stands for  |
|----------------------------|-------------------------------|---|
| $p_{\star,\diamond}(t)$    | cells                         | number of bacteria of type $\diamond$ that migrate into plankton from all colonies started by type $\star$ at time $t$                                    |
| $\hat{p}_{\star,\diamond}$ | cells                         | number of bacteria of type $\diamond$ that migrate into plankton from a single colony started by type $\star$ during its lifespan in the stationary state |
| $r_b$                      | $\frac{1}{\text{h}}$          | basic growth rate for an arbitrary cheater  |
| $r_n$                      | $\frac{1}{\text{mol h}}$      | nutrient dependent growth rate  |
| $r_x$                      | $\frac{1}{\text{h}}$          | basic growth rate for wildtype bacteria   |
| $r_y$                      | $\frac{1}{\text{h}}$          | basic growth rate for AI-cheaters   |
| $r_z$                      | $\frac{1}{\text{h}}$          | basic growth rate for enzyme cheaters   |
| $s(t)$                     | $\frac{\text{mol}}{\text{L}}$ | concentration of signal molecule at time $t$  |
| $u(t, a)$                  | $\frac{1}{\text{h}}$          | number of colonies of age $a$ at time $t$ that were started by a wildtype   |
| $v(t, a)$                  | $\frac{1}{\text{h}}$          | number of colonies of age $a$ at time $t$ that were started by a AI-cheater   |
| $w(t, a)$                  | $\frac{1}{\text{h}}$          | number of colonies of age $a$ at time $t$ that were started by a enzyme cheater   |
| $x(t)$                     | cells                         | number of wildtype bacteria at time $t$   |
| $x_0$                      | cells                         | number of wildtype bacteria in a stationary state   |
| $y(t)$                     | cells                         | number of AI-cheaters at time $t$   |
| $z(t)$                     | cells                         | number of enzyme cheaters at time $t$   |

606

607 *Appendix A.2. Standard parameter values*

Table A.2: Standard parameter values for the numeric simulations if not explicitly stated otherwise

| name           | value                 |                                     | source               |
|----------------|-----------------------|-------------------------------------|----------------------|
| $\alpha$       | $1.5 \times 10^{-11}$ | $\frac{\text{mol}}{\text{L h}}$     |                      |
| $\beta_e$      | 1.2                   | $\frac{\text{mol}}{\text{cells h}}$ | Vetter et al. (1998) |
| $\beta_s$      | $1.5 \times 10^{-10}$ | $\frac{\text{mol}}{\text{L h}}$     |                      |
| $\gamma_e$     | 0.021                 | $\frac{1}{\text{h}}$                |                      |
| $\gamma_n$     | 2.3                   | $\frac{1}{\text{h}}$                |                      |
| $\gamma_s$     | 0.0055                | $\frac{1}{\text{h}}$                |                      |
| $\mu$          | 0.0208                | $\frac{1}{\text{cells h}}$          | Heymann (2010)       |
| $\mu_K$        | 1                     | $\frac{1}{\text{h}}$                |                      |
| $\mu_{colony}$ | 0.01                  | $\frac{1}{\text{cells h}}$          |                      |
| $\xi$          | 0.5                   |                                     |                      |
| $\tau$         | $7 \times 10^{-8}$    | $\frac{\text{mol}}{\text{L}}$       |                      |
| $c_1$          | $2.4 \times 10^{-15}$ | $\frac{1}{\text{mol h}}$            | Böckle et al. (1995) |
| $c_2$          | $1 \times 10^{-19}$   | $\frac{1}{\text{cells h}}$          | Simon (1985)         |
| $h$            | 2                     |                                     |                      |
| $L$            | 100                   |                                     |                      |
| $m_y$          | $3.5 \times 10^{-7}$  | $\frac{1}{\text{h}}$                |                      |
| $m_z$          | $3.5 \times 10^{-7}$  | $\frac{1}{\text{h}}$                |                      |
| $\bar{n}_0$    | 5                     | $\frac{\text{mol}}{\text{h}}$       |                      |
| $r_n$          | 0.5                   | $\frac{1}{\text{mol h}}$            |                      |
| $r_x$          | 0.08                  | $\frac{1}{\text{h}}$                | Heymann (2010)       |
| $r_y$          | 0.09                  | $\frac{1}{\text{h}}$                | Heymann (2010)       |
| $r_z$          | 0.12                  | $\frac{1}{\text{h}}$                | Heymann (2010)       |



Table A.3: Differing parameters used in simulations for figure 5

| name        | value                |                               | source               |
|-------------|----------------------|-------------------------------|----------------------|
| $\gamma_e$  | 0.0021               | $\frac{1}{\text{h}}$          |                      |
| $c_1$       | $3.6 \times 10^4$    | $\frac{1}{\text{mol h}}$      | Böckle et al. (1995) |
| $c_2$       | $10 \times 10^{-19}$ | $\frac{1}{\text{cells h}}$    | Simon (1985)         |
| $\bar{n}_0$ | $1 \times 10^{-18}$  | $\frac{\text{mol}}{\text{h}}$ |                      |
| $r_n$       | 0.01                 | $\frac{1}{\text{mol h}}$      |                      |

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