

1                   **Can we meet global challenges for elimination of**  
2                               **Hepatitis B Virus infection by 2030?**  
3                   **Vaccine-mediated immunity in a South African cohort**  
4                               **and a model of transmission and prevention**

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6                   Anna McNaughton<sup>1\*</sup>, José Lourenço<sup>2\*</sup>, Louise Hattingh<sup>3\*</sup>, Emily Adland<sup>4</sup>,  
7                   Samantha Daniels<sup>3</sup>, Anriette Van Zyl<sup>3</sup>, Connie S Akiror<sup>5</sup>, Susan Wareing<sup>6</sup>,  
8                   Katie Jeffery<sup>6</sup>, Azim Ansari<sup>1</sup>, Paul Klenerman<sup>1,6</sup>, Philip J R Goulder<sup>4</sup>,  
9                   Sunetra Gupta<sup>2</sup>, Pieter Jooste<sup>3</sup>, Philippa C Matthews<sup>1,6\*</sup>

10  
11                   \* These three authors contributed equally to the work presented here

12  
13                   <sup>1</sup> Nuffield Department of Medicine, Peter Medawar Building for Pathogen Research, South  
14                   Parks Road, Oxford OX1 3SY, UK

15                   <sup>2</sup> Department of Zoology, Peter Medawar Building for Pathogen Research, South Parks  
16                   Road, Oxford OX1 3SY, UK

17                   <sup>3</sup> Department of Paediatrics, Kimberley Hospital, Kimberley, 8300, South Africa

18                   <sup>4</sup> Department of Paediatrics, Peter Medawar Building for Pathogen Research, South Parks  
19                   Road, Oxford OX1 3SY, UK

20                   <sup>5</sup> Global Healthcare Public Foundation, Makindu Lane, Kololo, Kampala, Uganda

21                   <sup>6</sup> Department of Infectious Diseases and Microbiology, Oxford University Hospitals NHS  
22                   Foundation Trust, John Radcliffe Hospital, Headley Way, Oxford OX3 9DU, UK

23  
24                   \* Corresponding author: [philippa.matthews@ndm.ox.ac.uk](mailto:philippa.matthews@ndm.ox.ac.uk)

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27                   **RUNNING HEAD:** HBV vaccine responses and model of timescale to elimination

28  
29                   **KEYWORDS:** hepatitis b virus; HBV; HIV; co-infection; epidemiology; Africa; South Africa;  
30                   children; paediatrics; antibodies; vaccine; immunisation; elimination; transmission; dynamics;  
31                   model; simulation; vertical transmission; PMTCT; number needed to vaccinate; sustainable  
32                   development goals; public health

35 **ABBREVIATIONS**

- 36 • 3TC - Lamivudine
- 37 • Anti-HBc – antibody to hepatitis B core antigen (antibody mediated by exposure to
- 38 infection)
- 39 • Anti-HBe – antibody to hepatitis B envelope antigen
- 40 • Anti-HBs – antibody to hepatitis B surface antigen (vaccine-mediated antibody)
- 41 • ART – anti-retroviral therapy
- 42 • COSAC – coinfection in South African children
- 43 • EPI – Expanded Programme on Immunisation
- 44 • FTC - Entecavir
- 45 • HBV – hepatitis B virus
- 46 • HBcAg – Hepatitis B core antigen
- 47 • HBeAg – Hepatitis B envelope antigen
- 48 • HBsAg – Hepatitis B surface antigen
- 49 • HIV – human immunodeficiency virus (type 1)
- 50 • KReC – Kimberley Respiratory Cohort
- 51 • PMTCT – prevention of mother to child transmission
- 52 • RTHB – Road to Health Book
- 53 • TDF – Tenofovir
- 54 • UN – United Nations
- 55 • WHO – World Health Organisation

56

57

58 **ABSTRACT**

59 **Background:** Sustainable Development Goals and the World Health Organisation (WHO)

60 Global health sector strategy on viral hepatitis have set a challenge for the elimination of

61 hepatitis B virus (HBV) infection as a public health concern by the year 2030. Based on

62 current estimates of 250 million individuals with chronic infection, an intensive scale-up of

63 interventions will be required. We set out to characterise the epidemiology of HBV infection

64 and the prevalence of vaccine-mediated protection in a cohort of South African children, and

65 used these data, alongside parameters from the published literature, to inform a model of

66 HBV transmission and prevention. This has allowed us to develop evidence-based insights

67 into the extent to which scaling up vaccination and prevention of mother-to-child

68 transmission (PMTCT) might ultimately contribute to HBV elimination, and to assess the

69 extent to which the targets for 2030 are realistic.

70

71 **Methods and findings:** We studied a cohort of 310 children (136 HIV-positive; 174 HIV-  
72 negative) aged 6-60 months in Kimberley, South Africa. Less than 1% of children in this  
73 setting were HBV infected (HBsAg positive). A vaccine-mediated antibody (anti-HBs) titre  
74  $\geq 10$  mIU/ml was present in 238/310 children (77%). Anti-HBs titres were higher in HIV-  
75 negative children and in younger children ( $p < 0.0001$  in each case). Using these data,  
76 together with estimates of HBV transmission and epidemiology derived from the wider  
77 literature, we developed a model of HBV infection dynamics. We used this model to  
78 investigate the influence of prevention strategies, focusing on vaccination and PMTCT.  
79 Current vaccination efforts can be predicted to reduce population prevalence by ~20% in the  
80 first 25 years, but can bring the prevalence of HBV e-antigen (HBeAg)-positive chronic  
81 carriers down by ~40% in the same time period. We show likely additional benefit in  
82 providing catch-up vaccination in the short-term, but little long-term difference. Combining  
83 neonatal vaccination with robust PMTCT is the most effective population-level strategy to  
84 secure short-term impact, but coverage of both interventions needs to be high. Thus with  
85 strategies and resources already available, significant, positive public health impact is  
86 possible, although time to HBV elimination is likely to be substantially longer than that  
87 proposed by current goals.

88

89 **Conclusions:** At the level of an individual cohort, these data reflect the substantial overall  
90 success of HBV immunisation, with  $< 1\%$  of children now becoming infected with HBV in an  
91 endemic setting. However, we go on to demonstrate that to move towards the target of  
92 elimination, major improvements in vaccination deployment and coverage are required, and  
93 enhanced efforts in PMTCT. Realistic targets, rather than focusing on a complete elimination  
94 of the public health threat posed by HBV by the year 2030, may be better aiming for a  
95 substantial reduction in prevalence, which will come about through vaccination, PMTCT, and  
96 reduction of HBeAg-positive carriage. The magnitude of the elimination challenge, and the  
97 long time periods of sustained investment that will be required, underline the crucial  
98 importance of parallel investment into diagnostics, advocacy, policy, education and ongoing  
99 research into HBV cure strategies.

## 100 INTRODUCTION

101 The World Health Organisation (WHO) and United Nations (UN) Sustainable Development  
102 Goals have set out targets for the elimination of viral hepatitis as a major public health threat  
103 by 2030 (1,2). The magnitude of this challenge becomes apparent on reviewing the burden  
104 of mortality and morbidity attributed to these infections: overall, hepatitis viruses are  
105 responsible for an estimated 1.4 million deaths annually. Of these, 47% are directly  
106 attributable to hepatitis B virus (HBV) (1), which is currently estimated to be responsible for  
107 chronic infection in 240-260 million individuals worldwide (3). The highest prevalence of HBV  
108 infection, frequently >8%, is reported in Africa and South East Asia (4), but African  
109 populations are under-represented in the current literature (5).

110

111 In South Africa, HBV is endemic: the estimated prevalence among adults is 6-11% (4,6,7),  
112 with a disproportionately higher prevalence occurring in rural regions (8,9). Conventional  
113 parenteral transmission routes are well recognised, but a substantial proportion of infections  
114 in South Africa have traditionally been attributed to horizontal transmission within  
115 households during early childhood (10). In a recent study in Kimberley, we demonstrated  
116 cases of HBV infection among children with HIV (11), despite the inclusion of the HBV  
117 vaccination in routine childhood immunisation programmes in South Africa since 1995 (10).

118

119 This vaccine, a safe and affordable recombinant surface antigen protein, has been available  
120 for over two decades (12,13), and is highly efficacious, generating immunity to HBV in >90%  
121 of immunocompetent individuals after a primary course of three doses (12,14,15). Since the  
122 mid-1990s, the WHO has encouraged universal coverage of the HBV vaccine through its  
123 Expanded Programme on Immunisation (EPI) (16) and the majority of countries now offer  
124 three doses of HBV vaccination in infancy. Antenatal screening for HBV, to reduce the risk of  
125 vertical transmission, is also advocated by the WHO (17). High maternal HBV viral loads and  
126 HBV envelope antigen (HBeAg) positivity are risk factors for transmission, and the  
127 administration of HBV immune globulin ('HBIG') immediately after birth, together with  
128 vaccination, is recommended for this group, and has been demonstrated to reduce the risk  
129 of vertical transmission to  $\leq 3\%$  (18). Despite the availability of interventions for prevention of  
130 mother to child transmission (PMTCT), in many regions of the world antenatal screening for  
131 HBV is not routinely offered (19,20).

132

133 EPI guidelines recommend universal administration of the HBV vaccine, with advice being to  
134 provide the primary dose in the first day of life (3,21). However, there are several challenges  
135 to the success of this strategy. In South Africa, the first dose is conventionally delayed until  
136 age 6 weeks with subsequent doses at 10 and 14 weeks, leaving a window during which

137 vertical transmission can occur peripartum or in the early weeks of life (22). Coverage of the  
138 third vaccine dose is difficult to ascertain with confidence; estimates for coverage in the first  
139 year of life range from 56-97% (10). South Africa's high HIV prevalence (estimated 12.7%  
140 (23)) poses a further challenge to the success of national HBV initiatives, as being HIV  
141 positive can increase the risk of peri-partum transmission of HBV, and the HBV vaccine has  
142 been demonstrated to have reduced efficacy in HIV positive individuals (24–27).

143

144 Vaccine modelling studies, which include 'number needed to vaccinate' (NNV) approaches,  
145 can be used to inform and advise on intervention strategies and to develop cost-benefit  
146 analyses for vaccination programmes (28). Such models are based on parameters that  
147 include vaccine efficacy, and the incidence, prevalence and transmission rates of a given  
148 infection (29). A recent modelling study has considered the contribution of vaccination  
149 towards the global elimination of HBV (30), but the broad approach and inclusion of  
150 vaccination as one of many potential interventions makes it difficult to single out the role and  
151 influence of immunisation. Although the HBV vaccine is one of the most robust and widely  
152 used immunisations, to the best of our knowledge there is no specific HBV vaccine model in  
153 the published literature.

154

155 In order to investigate HBV vaccine coverage and vaccine-mediated immunity in South  
156 Africa, we set out to investigate HBV sero-epidemiology. We then used insights gained from  
157 these data gathered in one specific site, together with a detailed panel of other parameters  
158 that are reported in the existing literature, to develop a model that illustrates HBV dynamics  
159 and transmission. The model allows us to quantify the individual impact of different  
160 interventions in a way that would never be possible in a clinical study. This underpins a  
161 better understanding of specific ways in which prevention strategies can be developed and  
162 improved, informs wise deployment of limited resources, and provides insights that inform  
163 our approach to the challenges of measuring progress. In summary, this work first provides a  
164 detailed picture of the extent to which existing prevention measures are already having an  
165 impact (clinical cohort study), and then uses this as a foundation to quantify (through a  
166 mathematical model) how enhancements in vaccination and PMTCT strategies could  
167 improve our chances of meeting targets for elimination over time.

168

## 169 **MATERIALS AND METHODS**

### 170 **Ethics Approval**

171 Ethics approval for the study was obtained from the Ethics Committee of the Faculty of  
172 Health Science, University of the Free State, Bloemfontein, South Africa (HIV Study Ref:

173 ETOVS Nr 08/09 and COSAC Study Ref: ECUFS NR 80/2014). Written consent for  
174 enrolment into the study was obtained from the child's parent or guardian.

175

### 176 **Study cohorts**

177 Children were recruited as part of the Co-infection in South-African Children (COSAC) study,  
178 in Kimberley, South Africa, as previously described (11,31). We set the lower age limit of  
179 recruitment as 6 months in order to limit the detection of maternal anti-HBs in younger  
180 infants, and the upper limit at 60 months in order to optimise the capture of hand-held  
181 vaccine records (Road to Health Book, RTHB) carried by children aged under 5. These  
182 children were recruited from two sources:

183 i. HIV-negative participants (n=174), recruited through the Kimberley Respiratory  
184 Cohort (KReC) as previously described (31). These children were admitted to  
185 hospital with a clinical diagnosis of respiratory tract infection between July 2014 and  
186 August 2016. The majority of KReC children were routinely HIV-tested as a  
187 component of their clinical assessment, and were confirmed HIV-negative in 163  
188 cases (93.7%). A further 11 children did not have an HIV test result recorded, but  
189 were assumed to be HIV-negative for the analysis based on the clinical data that  
190 were available at the time of admission to hospital.

191 ii. HIV-positive children (n=136) recruited primarily from HIV outpatient clinics,  
192 (recruited between September 2009 and July 2016). This includes five children who  
193 were recruited into the KReC study but subsequently tested HIV-positive. For HIV-  
194 positive children, we recorded date of commencement of ART (anti-retroviral  
195 therapy), CD4+ T cell count, CD4+ T cell percentage, and HIV RNA viral load, when  
196 these data were available. We recorded these information using the time point  
197 closest to the sample that was analysed for HBV serology.

198

199 In order to study the influence of age on vaccine-mediated responses, we also collected data  
200 from a third group of older HIV-positive children (age >60 months, range 64-193 months,  
201 n=92) as previously described (11,31). Where possible, we recorded the number of HBV  
202 vaccine doses received based on the RTHB. At the time of undertaking this study, children  
203 were immunised with three doses of a monovalent HBV vaccine (Biovac Paed). The  
204 characteristics of the cohorts are summarised in table 1 and all metadata can be found in  
205 Suppl. data 1.

206

207 **Table 1: Characteristics of three paediatric study cohorts, comprising 402 children,**  
208 **recruited from Kimberley Hospital, South Africa.**

Cohort	HIV negative;	HIV positive	HIV positive
	KReC (age ≤60 months)	(age ≤60 months)	(age >60 months)
<b>Number of subjects</b>	174	136	92
<b>Age range in months</b>	8-58	6-60	64-193
<b>Median age in months (IQR)</b>	18 (12-26)	29 (18-40)	137 (122-154)
<b>Sex (% male)</b>	55.4	44.9	45.6

209 KReC = Kimberley Respiratory Cohort. IQR = interquartile range.

210

### 211 **Laboratory assessment of HBV status**

212 Testing for Hepatitis B serum markers and DNA was performed as previously described; for  
213 HIV-positive children this is in keeping with recent implementation of HBV screening in  
214 Kimberley (11). Briefly, HBsAg testing was carried out in Kimberley Hospital, South Africa  
215 using the Magnetic particle chemiluminometric immunoassay (MPCI; Advia Centaur platform).  
216 Confirmatory HBsAg testing was carried out by the UKAS accredited clinical microbiology  
217 laboratory at Oxford University Hospitals (OUH) NHS Foundation Trust, Oxford, UK  
218 (Architect i2000). For all samples, anti-HBs and anti-HBc testing were carried out by the  
219 OUH laboratory (Architect i2000). Limit of detection of the anti-HBs assay was 10 mIU/ml.

220

### 221 **Setting a threshold for vaccine mediated immunity**

222 In practice, a threshold for vaccine-mediated immunity is difficult to define, and studies  
223 variably quote anti-HBs titres of  $\geq 10$  mIU/ml or  $\geq 100$  mIU/ml as a correlate of protection. UK  
224 recommendations for testing HBV immunity often rely on the more stringent criterion of an  
225 anti-HBs titre of  $\geq 100$  mIU/ml (32). However, early vaccine studies have highlighted that a  
226 titre of  $\geq 10$  mIU/ml is likely to be a clinically relevant threshold for protection; a study of  
227 children in The Gambia showed that children who attained an anti-HBs titre of  $\geq 10$  mIU/ml  
228 were most likely to be immune (33), and another study demonstrated increased risk of  
229 infection when antibody titres fell  $< 10$  mIU/ml (34). Due to the varying use of different  
230 thresholds, we have presented our results pertaining to both thresholds of  $\geq 10$  mIU/ml and  
231  $\geq 100$  mIU/ml.

232

### 233 **Statistical analysis**

234 Data from the cohort was analysed using GraphPad Prism v.7.0. We determined significant  
235 differences between sub-sets within the cohort using Mann-Whitney U tests for non-  
236 parametric data, Fisher's exact test for categorical variables and correlation between data  
237 points was assessed using Spearman's correlation coefficient. To assess the impact of



238 multiple variables, we used multivariate logistic regression analysis (35) using the Statistics  
 239 add-on tool in Google Sheets (<https://www.google.co.uk/sheets/about/>).

240

### 241 **Mathematical model of HBV transmission and prevention**

242 A mathematical model was developed using ordinary differential equations (ODE) and is  
 243 shown in Fig 1. Parameterization of transmission and prevention was based both on our  
 244 South African paediatric cohort and current literature estimates. Mid-year population  
 245 estimates from 2016 published by Statistics South Africa (23) were used to underpin  
 246 assumptions about life expectancy, fertility rate and infant mortality. The details and sources  
 247 of these parameters can be found in Table 2.

248

249 **Table 2: List of parameters used to inform a model of HBV transmission**

250

Model symbol	Description	Value	Reference
$\alpha$	demographic transition of children ( $Sc$ ) into older ages ( $Sa$ )	fitted	<sup>s</sup>
$\square$	demographic transition of infants ( $Si$ ) into children ( $Sc$ )	fitted	<sup>s</sup>
$\rho$	$1/\rho$ = infectious period of chronic $HBeAg$ -	fitted	<sup>s</sup>
$\theta$	rate of seroconversion from $HBeAg+$ to $HBeAg$ -	fitted	<sup>s</sup>
$\beta$	transmission rate of chronic $HBeAg$ -	fitted	<sup>s</sup>
$\beta_m$	transmission rate of chronic $HBeAg+$ and acute infections ( $I$ )	$10\beta$	(24)
$A_1$	frequency of vertical transmission from $HBeAg+$ mothers	0.75	(18)
$A_2$	frequency of vertical transmission from $HBeAg$ - mothers	0.25	(18)
$\mu$	$1/\mu$ = lifespan; $\mu$ = mortality rate of general population	59 yrs (2011)	(23)
$\mu'$	$1/\mu'$ = lifespan; $\mu'$ = mortality rate of chronic $HBeAg+$ ;	50 yrs	*
$\sigma$	$1/\sigma$ = infectious period of acute infections ( $I$ )	0.5 yrs	(36)
$\gamma$	infant's risk for acute infection	0.95	(37)
$\varepsilon$	children's risk for acute infection	0.40	(37)
$\psi$	older ages' risk for acute infection	0.15	(37)
$v_n$	vaccine efficacy in susceptible infants	0.95	(12)
$v_c$	vaccine efficacy in susceptible children	0.95	$v_n$
$v_a$	vaccine efficacy in susceptible adults	0.95	$v_n$
$v_{C+}$	vaccine efficacy in newborns of chronic $HBeAg+$ mothers	0.83	(30)
$v_{C-}$	vaccine efficacy in newborns of chronic $HBeAg$ - mothers	0.95	(38)
$\delta_n$	proportion vaccinated at point of entry of infants	variable	**
$\delta_a$	proportion vaccinated at point of entry of older ages	variable	**



$\kappa_i$	proportion of infants vaccinated in catch-up	variable	**
$\kappa_c$	proportion of children vaccinated in catch-up	variable	**
$\kappa_a$	proportion of older ages vaccinated in catch-up	variable	**
$\zeta$	reduction in vertical transmission due to intervention (PMTCT)	variable	**

251

252 (\$) Fitted by the Bayesian MCMC approach (see Supplementary Data File 2 for full details).

253 (\*) Assumed parameters: sensitivity analysis is presented in supplementary material.

254 (\*\*) Variable parameters: used for dynamic projections of intervention (see Results Section).

255

256

257

258 We consider the population grouped into epidemiologically relevant states as follows:

- 259 • **Susceptible** ( $S_i$ ,  $S_c$ ,  $S_a$ ): sub-divided into three age groups  $i$ ,  $c$ , and  $a$ , representing  
260 *infants* (<1 yr of age, designated  $S_i$ ), *children* (age 1-6 yrs, designated  $S_c$ ) and *older*  
261 *children and adults* (>6 years of age, designated  $S_a$ ), respectively.
- 262 • **Carriers** ( $I$ ,  $C^-$ ,  $C^+$ ): sub-divided into three groups represented as *acute infections* ( $I$ ),  
263 chronic e-antigen positive ( $HBeAg^+$ , designated  $C^+$ ) and chronic e-antigen negative  
264 ( $HBeAg^-$ , designated  $C^-$ ).
- 265 • **Recovered** ( $R$ ); individuals who have been infected but cleared, rendering them  
266 immune.
- 267 • **Vaccinated** ( $V$ ); individuals who have received a full vaccine schedule and are  
268 assumed to have protective titres of vaccine-mediated anti-HBs.

269

270 Depending on age of infection, individuals can either sustain an acute infection ( $I$ ) or become  
271 chronic carriers ( $C$ ), as represented by the age-specific parameters  $\gamma$ ,  $\psi$ ,  $\varepsilon$  for  $S_i$ ,  $S_c$  and  $S_a$   
272 respectively. Chronic carriers were assumed to be initially  $HBeAg^+$  ( $C^+$ ), but could convert  
273 to  $HBeAg^-$  ( $C^-$ ) at rate  $\theta$ , and eventually clear infection at a rate  $\rho$ . Depending on the  
274 infection status of mothers, individuals could be born susceptible (represented by an input of  
275  $Z$  into the  $S_i$  class) or be infected at birth (represented by an input of  $W$  into the  $C^+$  class).  
276 Population size was taken to be constant with equal births ( $b$ ) and deaths ( $\mu$ ), and with  
277  $HBeAg^+$  individuals ( $C^+$ ) having a shorter lifespan ( $1/\mu'$ ) than the rest of the population due  
278 to severe manifestations of infection. Acutely infected individuals ( $I$ ) were assumed to enter a  
279 recovered state ( $R$ ) at a rate  $\sigma$ .

280

281 Transmission rates of carriers ( $\beta$ ,  $\beta_m$ ) are linked to viraemia level, with  $HBeAg^+$  ( $C^+$ ) and  
282 acute infections ( $I$ ) sharing similar rates ( $\beta_m$ ) and  $HBeAg^-$  ( $C^-$ ) a lower rate ( $\beta$ ). We assumed  
283 that acute ( $I$ ) and  $HBeAg^+$  carriers ( $C^+$ ) had a higher transmission potential than acute and  
284  $HBeAg^-$  carriers: since the infectious period of  $HBeAg$  positive chronic is orders of

285 magnitude longer than of acute infections, their contribution to overall transmission both at  
286 the levels of the individual and population is much higher. A Bayesian statistical method is  
287 used to estimate transmission potential based on population HBV prevalence. It is therefore  
288 expected that the obtained distribution for transmission potential indirectly takes into account  
289 that acute infections will not be highly infectious for the entire duration of infection (that is,  
290 the estimated distribution of the transmission potential is expected to approximate a mean of  
291 potential for the entire period of infection).

292

293 Intervention strategies were considered in the model in the form of reductions in vertical  
294 transmission (PMTCT, affecting  $W$  and  $Z$ ), and routine and catch-up vaccination (moving  
295 individuals to class  $V$ ). Routine vaccination could take place at birth (with a proportion  $Z'$   
296 entering class  $V$ ) or effectively within the older population (as a proportion  $V_a$  of those  
297 leaving  $S_c$  entering class  $V$ , affecting individuals  $>6$  yrs of age). Catch-up vaccination was  
298 modelled by moving a proportion of susceptible individuals in every age class into the  
299 vaccinated class in a single time event (not shown in diagram, described in detail in  
300 supplementary data file 2).

301

302 The modelling approach was subdivided into three main steps: (i) fitting to demographic and  
303 (ii) transmission backgrounds, followed by the (iii) simulation of single or combined  
304 interventions. In the first two steps we effectively fit unknown model parameters ( $a$ ,  $c$ ,  $\beta$ ,  $\rho$ ,  $\theta$ )  
305 to population-based observations using a Bayesian Markov-Chain Monte-Carlo (MCMC)  
306 approach. After obtaining posteriors for these parameters (i, ii), we set them to the obtained  
307 medians before numerically simulating interventions (iii). Full ODE model details, fitting  
308 approach, MCMC output, as well as other results and sensitivity experiments are presented  
309 in supplementary data file 2.

310

## 311 **RESULTS**

### 312 **Serological evidence of exposure to HBV infection**

313 Evidence of current infection with HBV, determined by the detection of HBsAg, was  
314 observed in three children (0.8% of the cohort; Table 3). None of these three children  
315 attended with a written vaccination record (RTHB). Anti-HBc was detected in 0.8% subjects  
316 ( $n=3$ ), one of whom was also HBsAg positive. The other two participants were HBsAg  
317 negative, indicating previous exposure to HBV infection and likely viral clearance in these  
318 subjects.

319

320 **Table 3: Detailed information and serological profiles of five children from Kimberley,**  
 321 **South Africa, with serological evidence of current or previous infection with HBV**  
 322 **(based on positive HBsAg (n=3) or anti-HBc (n=2))**

Subject	K306	K405	KReC51	KReC151	K093
<b>Cohort</b>	HIV- positive age ≤60 months	HIV positive age ≤60 months	KReC	KReC	HIV positive age >60 months
<b>Sex</b>	F	F	F	M	F
<b>Age (months) at time of sampling</b>	18	37	20	15	118
<b>HIV infection</b>	Positive	Positive	Negative	Negative	Positive
<b>ART<sup>a</sup> (if HIV positive)</b>	Yes	Yes	n/a	n/a	No
<b>Number of doses of HBV vaccine</b>	NK	NK	NK	3	NK
<b>HBsAg result<sup>b</sup></b>	<u>Detected</u>	<u>Detected</u>	<u>Detected</u>	Not detected	Not detected
<b>Anti-HBc result<sup>c</sup></b>	Not detected	Not detected	<u>Detected</u>	<u>Detected</u>	<u>Detected</u>
<b>HBeAg result<sup>d</sup></b>	Not done	Not done	<u>Detected</u>	Not done	Not done
<b>Anti-HBs result<sup>e</sup></b>	Not detected	Not detected	Not detected	<u>Detected</u>	Not detected
<b>Interpretation</b>	Active infection	Active infection	Active infection	Immunised, infected and cleared	Infected and cleared

323 <sup>a</sup>ART indicates the participant was receiving anti-retroviral therapy to treat HIV infection;  
 324 <sup>b</sup>Hepatitis B surface antigen test; <sup>c</sup>Hepatitis B core antibody test; <sup>d</sup>Hepatitis B envelope  
 325 antigen test; <sup>e</sup>Hepatitis B surface antibody test (vaccine mediated response). KReC =  
 326 Kimberley Respiratory Cohort. n/a = not applicable.

327

328 The prevalence of HBsAg is much higher in adults in comparable study populations; in a  
 329 previous study, we described HBV epidemiology in a cohort of antenatal women, and  
 330 mothers attending paediatric clinics with their children in Durban and Kimberley (7). Among  
 331 these adults, HBsAg prevalence was 9.5% (55/579), and the rate of HBeAg-positivity was  
 332 28% (14/50) (7).

333

334 **Documented evidence of vaccination and serological evidence of immunity to HBV in**  
 335 **children aged ≤60 months**

336 We were able to collect written documented evidence of immunisations from the RTHB in  
337 90.8% HIV negative (KReC) subjects but only from 6.3% of HIV positive subjects. This  
338 means that in the absence of a detectable anti-HBs titre, we cannot reliably distinguish  
339 children who are immunised but fail to mount an antibody response from children who are  
340 unimmunised. Among children with an RTHB record, 81.3% of HIV-negative and 100% of  
341 HIV-positive subjects were recorded as having received three primary doses of the HBV  
342 vaccine as stipulated by the EPI.

343

344 Across the whole cohort age 6-60 months, 238/310 children (77%) had an anti-HBs titre  $\geq 10$   
345 mIU/ml suggesting some degree of vaccine-mediated immunity. The median anti-HBs titre  
346 in HIV-negative participants was significantly higher than among HIV-positive children (196  
347 mIU/ml, vs. 11 mIU/ml, respectively,  $p < 0.0001$ ) (Fig 2A). No detectable anti-HBs titre was  
348 detected for 3.4% of HIV-negative individuals, vs. 47.8% of HIV-positive subjects  
349 ( $p < 0.0001$ ). Irrespective of the antibody titre used as a threshold for immunity, anti-HBs was  
350 higher in HIV-negative compared to HIV-positive children (Fig 2B, C). We found no  
351 significant difference in the anti-HBs titres between male and female participants, either with  
352 or without HIV infection ( $p = 0.49$  and  $0.31$  respectively).

353

#### 354 **Waning of vaccine response with age**

355 In order to explore the influence of age on titres of vaccine-mediated immunity, we compared  
356 the ages of children who achieved anti-HBs  $\geq 100$  mIU/ml vs those who did not reach this  
357 threshold, considering HIV-positive and HIV-negative groups separately. Among HIV-  
358 positive children, those with protective antibody titres were significantly younger than those  
359 not reaching this threshold (median age 17 months vs. 31 months,  $p = 0.0008$ ; Fig 3A). No  
360 such difference was observed within the HIV-negative group (Fig 3B). Using a threshold of  
361  $\geq 10$  mIU/ml, no significant differences were observed in the anti-HBs responses of either the  
362 HIV-positive or the HIV-negative groups ( $p = 0.17$  and  $4.48$  respectively). To expand our view  
363 of the HIV-positive group, we also added analysis of an older cohort (92 children aged  $> 60$   
364 months), and demonstrated that anti-HBs titres were significantly lower in this older group  
365 ( $p < 0.0001$ ), with only 2/92 subjects (2.2%) achieving a detectable anti-HBs titre of  
366  $\geq 10$  mIU/ml (Fig 3C).

367

368 Anti-HBs titres waned significantly with age up to age 60 months in HIV-positive children (Fig  
369 3D;  $p = 0.004$ ). No correlation was identified in the HIV-negative cohort ( $p = 0.07$ ,  $R^2 = 0.02$ ),  
370 although with median anti-HBs titres declined from 336.1 mIU/ml (IQR 55.3-953.6 mIU/ml) in  
371 subjects  $\leq 12$  months to 197.1 mIU/ml (IQR 67.9-448.5 mIU/ml) in those  $> 36$  months (Fig  
372 3E). Although the numbers of children in this cohort are small, and we did not collect

373 longitudinal data, these results support previous literature reports that HBV vaccine-  
374 mediated immunity wanes over time (39,40).

375

376 **Stratification of vaccine responses by anti-retroviral therapy (ART) among HIV-**  
377 **positive children**

378 For children aged 6-60 months, we recorded whether or not study participants were treated  
379 with ART; this information was available for 79% of subjects. Among these, 71% of HIV-  
380 positive study participants were known to be receiving anti-retroviral therapy (ART) at the  
381 time of testing for anti-HBs. These children had been treated with ART for varying lengths of  
382 time (median 20 months; IQR 6-33 months).

383

384 We compared anti-HBs titres of subjects being treated with ART compared to those not  
385 currently receiving ART and found no significant difference ( $p=0.72$ ; 76 children on ART,  
386 median anti-HBs 13.3 mIU/ml and 31 children not on ART, median anti-HBs 14.1 mIU/ml).  
387 There was also no difference between anti-HBs titres of children on ART for  $\leq 12$  months  
388 compared with those treated for  $>12$  months ( $p=0.50$ ). We did not examine the effect of ART  
389 on anti-HBs titres in children  $>60$  months old due to the low numbers of subjects in this  
390 group with a detectable anti-HBs titre ( $n=2$ ).

391

392 **Multivariate analysis**

393 In a multivariate analysis, two factors were identified as predictive of a protective anti-HBs  
394 titre: age  $<24$  months and HIV-negative status (Table 4).

395

396 **Table 4: Multivariate analysis to identify factors associated with anti-HBs titre**  
397  **$\geq 100$  mIU/ml among HIV-positive and HIV-negative children aged 6-60 months from**  
398 **Kimberley, South Africa.** Percentages shown represent the proportion of the entire cohort  
399 ( $n=310$ ) who fall into the listed category. Row totals add up to less than 310 as a result for  
400 missing data points for some children.

Characteristic	Anti-HBs titre <100 mIU/ml		Anti-HBs titre $\geq 100$ mIU/ml		P-value
	n=	%	n=	%	
<b>Age &lt;24 months</b>	66	39.0	100	71.1	0.005
$\geq 24$ months	103	61.0	41	28.9	
<b>Sex (Male)</b>	84	50.0	71	50.0	0.276
(Female)	84	50.0	70	50.0	
<b>HIV (negative)</b>	56	31.9	118	84.5	

(positive) 113 68.1 23 15.5 < 0.0001

401

402 Among HIV-positive children age 6-60 months, CD4+ T-cell counts and HIV viral load were  
 403 available for 83% of participants (suppl. data 1). We included age, sex, CD4+ T-cell counts,  
 404 CD4+ T-cell proportion and HIV viral load in a multivariate analysis for protective anti-HBs  
 405 responses (Table 5). In this model, age <24 months and HIV viral load  $\leq 2.0 \log_{10}$  were found  
 406 to be predictors of an anti-HBs titre of  $\geq 100$  mIU/ml. Multivariate analysis using the lower  
 407 anti-HBs titre of  $\geq 10$  mIU/ml identified only HIV-negative status as a significant association.

408

409 **Table 5: Multivariate analysis for factors associated with anti-HBs titre  $\geq 100$  mIU/ml in**  
 410 **HIV-positive children age 6-60 months from Kimberley, South Africa.** Percentages  
 411 shown represent the proportion of the entire cohort (n=136) who fall into the listed category.  
 412 Row totals add up to less than 136 as a result for missing data points for some children.

Characteristic	Proportion of group with anti-HBs titre <100 mIU/ml		Proportion of group with anti-HBs titre $\geq 100$ mIU/ml		P-value
	n=	%	n=	%	
	<b>Age (&lt;24 months)</b>	28	24.8	16	
( $\geq 24$ months)	85	75.2	7	30.4	0.048
<b>Sex (Male)</b>	52	47.7	6	30.0	
(Female)	57	52.3	14	70.0	0.432
<b>Treatment (on ART)</b>	63	65.6	15	75.0	
(not on ART)	33	34.4	5	25.0	0.568
<b>CD4+ count (&lt;1000)</b>	36	39.1	5	33.3	
( $\geq 1000$ )	56	60.9	10	66.7	0.954
<b>CD4+ (&lt;30%)</b>	55	60.4	6	42.9	
( $\geq 30\%$ )	36	39.6	8	57.1	0.462
<b>Viral load (&lt;2.0log<sub>10</sub>)</b>	20	21.5	6	40.0	
( $\geq 2.0 \log_{10}$ )	73	78.5	9	60.0	0.045

413

#### 414 **Odds of developing an anti-HBs response**

415 An odds ratio (OR) analysis (Fig 4) indicated that being HIV-positive was associated with  
416 reduced odds of developing protective anti-HBs titres, based on titres of both  $\geq 10$  mIU/ml  
417 (OR 26.2, 95% CI 11.2-58.6) and  $\geq 100$  mIU/ml (OR 11.6, 95% CI 6.7-20.4). Younger age  
418 (<24 months) increased the odds of having an anti-HBs titre of  $\geq 10$  mIU/ml (OR 0.3, 95% CI  
419 0.2-0.5) or  $\geq 100$  mIU/ml (OR 0.3, 95% CI 0.2-0.4). Among the HIV-positive subjects only,  
420 age <24 months only elevated the odds for developing an anti-HBs response of  $\geq 100$  mIU/ml  
421 (OR 0.1, 95% CI 0.06-0.4) (Fig 4B). Other characteristics analysed including gender, ART,  
422 CD4+ count, CD4+ ratio and HIV viral load were not found to be significantly predictive of  
423 anti-HBs titres at either threshold.

424

#### 425 **Modelling effects of interventions on HBV prevalence**

426 We first fitted our transmission model (Fig 1) to demographic expectations for the age  
427 classes in the absence of transmission, using the expected population proportions published  
428 for South Africa as baseline (Fig S2, parameters detailed in Tables 2 and S2). With the  
429 posterior medians for the age parameters, we then fitted known HBV prevalence data  
430 derived from this cohort and from the published literature (Figure 1B/C, parameters detailed  
431 in Tables 2 and S3). Finally, using both the posterior medians for age and transmission  
432 parameters we simulated a multitude of scenarios involving vaccination and PMTCT  
433 interventions deployed first singly (Fig 1 D/E), and then in combination (Fig 5), quantifying  
434 'impact' as reduction in total HBV prevalence (sum of acute and chronic carriers) in the post-  
435 vaccination era, and estimating time for prevalence to reach levels for which stochastic  
436 extinction would be highly likely.

437

438 ODE model solutions (Fig 1B) closely captured the pre-vaccination, target proportions of  
439 carriers (sum of I, C-, C+) recovered (HBcAb, R) and relative chronic prevalences of  
440 HBeAg+ (C+) and HBeAg- (C-) carriers, highlighting how the transmission model can  
441 mechanistically represent local HBV epidemiology in the absence of vaccination. The MCMC  
442 chains (Fig S3) and posteriors (Fig 1C) of fitted (unknown) parameters were also seen to  
443 have robust behaviours. Our Bayesian estimations propose that the rate of seroconversion  
444 ( $\theta$ ) from HBeAg+ to HBeAg- is extremely slow, with a median period of  $\approx 18.5$  yrs (95% CI  $\in$   
445 [14, 22.2]), approximately 31% of the general population's lifespan and 37% of HBeAg+  
446 lifespan (Table 2). Spontaneous clearance of chronic infection ( $\rho$ ) was estimated to be even  
447 slower, close to 0.286% a year (95% CI  $\in$  [0.0349, 0.898]), capturing the yearly rate of  
448 0.73% previously found in a Brazilian cohort (41). Hence, the model effectively suggests a  
449 life-time probability of around 0.11 of HBV clearance for individuals acquiring chronic  
450 infection very early in life. We note here that although we leave seroconversion ( $\theta$ ) from



451 HBeAg+ to HBeAg- free when fitting, its posterior with median of about 5.3% a year is  
452 compatible with empirical estimations (42) of yearly rates of < 2% for < 3 years of age and 4-  
453 5% for older children (43), with  $\approx$  90% of individuals acquiring HBV early in life remaining  
454 HBeAg+ at the ages of 15 – 20 years (44).

455

456 Fig 1D illustrates how increasing the proportion of infants given birth vaccination has a  
457 positive and progressive impact on reducing the population prevalence of HBV infection.  
458 Importantly, even with complete coverage of neonates, prevalence is shown to approach  
459 zero just under 400 years. These long time-scales are in keeping with an intervention that  
460 does not tackle the large established reservoir of chronic infection and targets only a small  
461 proportion of the population such that vaccine-induced herd-immunity accumulates slowly  
462 over several decades (Fig S6). For similar reasons, implementing robust PMTCT (Fig 1E)  
463 would also slowly reduce HBV prevalence, but since it does not prevent infection later but  
464 still early in life, PMTCT on its own would have a smaller overall impact than neonatal  
465 vaccination. Having illustrated the theoretical impact of these single interventions at a  
466 population level, we next used our model to explore the impact of combined interventions,  
467 considering vaccination of neonates together with older ages (Fig 5 panels ABCD-1),  
468 neonatal vaccination together with PMTCT (Fig 5 panels ABCD-2), and neonatal vaccination  
469 together with PMTCT plus 100% catch-up vaccination of all ages (Fig 5 panels ABCD-3).

470

471 Using the model, we investigated how different combinations of interventions would impact  
472 HBV epidemiology in terms of the time required to reduce total prevalence to 0.1% (Fig 5  
473 panels A1-3). Combining immunization of neonates with older ages (>6 years) required the  
474 longest time (Fig 5 A1), with improvements seen when combining neonatal vaccination with  
475 PMTCT (Fig 5 A2), and shortest periods observed when combining the latter with a one off  
476 100% catch-up of susceptible individuals (Fig 5 A3). In each of these scenarios, reaching  
477 0.1% prevalence took >200 years, even under full coverage. However, total prevalence may  
478 be reduced to 1% ( $\sim$ 8 times lower than the level of endemicity before interventions), on  
479 much shorter timescales (50 yrs) when neonatal vaccination and PMTCT are combined (Fig  
480 S10).

481

482 After 25 years, based on a current rate of  $\sim$ 75% vaccination coverage in neonates only  
483 (mean of estimated 56-97%), the model predicts a total reduction in prevalence of  $\sim$ 19%  
484 relative to the pre-vaccination era (Fig 5 B1-2). If coverage were to be maintained at a stable  
485 95%, impact would be slightly higher with a reduction of 23% (Fig 5 B1-2). The addition of  
486 vaccination in older ages (>6 years old) was seen not to add much to this figure (Fig 5 B1).  
487 However, PMTCT was seen as highly beneficial, with a combination of 75% reduction in

488 vertical transmission and current neonate coverage achieving 30% reduction in total  
489 prevalence (Fig 5 B2). With both interventions being effective at 95%, prevalence could have  
490 been reduced by 35%. If vaccination of neonates and PMTCT at 95% had been coupled with  
491 an extra catch-up campaign to immunise 100% of the susceptible population, prevalence  
492 would be reduced by 43% (Fig 5 B3). The impact of catch-up vaccination was highest in the  
493 short and mid-term, but slowed down thereafter.

494

495 In considering the overall impact of any intervention, HBeAg+ individuals are the group with  
496 the highest public health importance as these present the highest risk of chronic liver  
497 disease, including cancer, and high risk of both horizontal and vertical transmission. We  
498 found that under current vaccination coverage of 75% of neonates, HBeAg+ carriers could  
499 be reduced by 41% in 25 years (Fig 5 D1-2); and, had coverage been 95%, a reduction up to  
500 49% would have been possible. As observed for total prevalence, combining vaccination of  
501 neonates with older ages created minimal additional impact (Fig 5 D1). PMTCT, on the other  
502 hand, increased the impact of neonatal vaccination alone, with a reduction of 49% predicted  
503 for a combination of current 75% vaccination efforts and 50% reduction in vertical  
504 transmission. If both interventions had been maintained at 95%, the HBeAg+ carriers could  
505 have been reduced by a substantial 75% in only 25 years. As seen before for total  
506 prevalence, combining vaccination of neonates with PMCTC and a catchup of 100% would  
507 have generally increased impact (Fig 5 D3).

508

## 509 **DISCUSSION**

510 The work presented here is an important foundation for informing strategies that will move us  
511 towards the HBV targets enshrined within Sustainable Development Goals and Global  
512 Hepatitis Health Sector Strategy (2). With ambitious aims set out to be achieved by 2030, it  
513 is crucial that existing resources are deployed in the best possible way, based on a clear  
514 understanding of the likely scale and timeline for an impact to be evident at population level.  
515 While being optimistic about the improvements we can make in reducing population  
516 prevalence of HBV infection, a clear assessment of the challenge ahead is important  
517 advocacy for the development of new approaches, with the ultimate long-term aim still being  
518 HBV cure.

519

520 Studying a cohort of South African children demonstrates the potent effect of vaccination  
521 within individual communities: our observation that HBV infections are infrequent in these  
522 children (prevalence <1%) is in keeping with other studies that report a substantial decline in  
523 prevalence since universal infant HBV vaccination was introduced (25,45). A substantial  
524 proportion of HBV transmission in Africa is thought to arise before the age of 5 years (46)

525 and these results are therefore encouraging in demonstrating that vaccination – when  
526 deployed correctly - is indeed reducing HBV incidence in early childhood, when the risk of  
527 developing chronic infection is at its highest. Although previous studies in the region have  
528 indicated that HBV infection is not significantly associated with HIV status (22,24,47), our  
529 data do highlight a likely additional vulnerability of HIV-infected children based on lower  
530 antibody titres, and a rapid wane to below the threshold of anti-HBs <10 mIU/mL that is  
531 associated with protection.

532

533 HBV vaccination is given in South Africa at 6, 10, and 14 weeks; this provides a window of  
534 opportunity for perinatal HBV transmission (11,22). This is illustrated particularly by one  
535 subject within our cohort (KREC-151), an HIV-negative child with serologic evidence of past  
536 infection with HBV, despite documentation of the three-dose HBV vaccination schedule and  
537 anti-HBs titre of 201.8 mIU/ml. Perinatal transmission can be significantly reduced by the  
538 implementation of antenatal screening for HBV and the administration of a birth dose  
539 vaccine (48) supplemented with anti-HBV immunoglobulin, although this intervention may  
540 not be affordable in resource-limited settings (49). In the case of KREC-151, it seems most  
541 likely that vaccination occurred after infection with HBV had already been established.  
542 Systematic efforts to deliver the first vaccine dose soon after birth (in keeping with EPI  
543 recommendations) could reduce such transmission events, even in settings where HBV  
544 immune globulin is not routinely available.

545

#### 546 **Vaccine-mediated immunity to HBV**

547 Anti-HBs seroprevalence was significantly lower in HIV-positive participants when compared  
548 to HIV-negative subjects, irrespective of the threshold set for a protective titre. There are two  
549 possible explanations for this observation. First, impaired vaccine responses have previously  
550 been observed in HIV-positive individuals (25,50–53). However, given the lack of RTHB data  
551 for the HIV-positive study participants, we cannot exclude the second possibility, that  
552 coverage with the primary HBV vaccine course was lower among these children. This would  
553 be in keeping with a previous report that children born to HIV positive parents in South Africa  
554 are less likely to complete childhood vaccination programs (54).

555

556 Protective anti-HBs titres in HIV-positive subjects were significantly more frequent in  
557 subjects <24 months of age than in older subjects. This difference was not identified in the  
558 HIV-negative cohort and suggests that the vaccine responses in HIV-positive subjects wane  
559 rapidly after immunisation. This waning has been previously reported in both HIV-positive  
560 and HIV-negative subjects (40,45,50). However, loss of the anti-HBs response does not  
561 necessarily correlate with loss of clinical protection and anamnestic responses, where anti-

562 HBs titre is very low or absent but immunological memory remains, are thought to occur in a  
563 proportion of those vaccinated (55), although this memory may be attenuated in the context  
564 of HIV (56,57).

565

566 We found no difference in anti-HBs titres between participants on ART and those not on  
567 ART, although there are previous reports correlating ART with improved HBV vaccine  
568 responses (27,58). A previous study of Kimberley children demonstrated that recovery of  
569 CD4+ T cell percentage in HIV-positive children takes a median of five years after initiation  
570 of treatment (59); our current study is therefore likely to be underpowered to detect any true  
571 effect, given both the relatively short durations of ART treatment, and the small number of  
572 children not receiving ART. Interestingly, despite the lack of correlation between anti-HBs  
573 responses and treatment with ART, we did find that children with lower HIV viral loads had  
574 significantly higher anti-HBs titres, in keeping with previous studies (58,60). Based on  
575 current treatment guidelines, all HIV-infected children are now started on ART (61) and the  
576 immune reconstitution of this population over time should be anticipated to reduce the  
577 differences in vaccine responses between HIV-positive and HIV-negative groups.

578

### 579 **HBV model projections**

580 The model we have developed is statistically robust based on the population parameters we  
581 have included for this population, and we believe this is a novel and important tool for adding  
582 to our understanding about transmission dynamics and potential interventions for HBV,  
583 including offering the potential to scrutinise different strategies independently from one  
584 another. The determinants of an equilibrium in any population depend on a number of  
585 factors, which are determined by characteristics and behaviours of the host population (62)  
586 as well as potentially by the genetics of the virus. However, where the relevant  
587 epidemiological parameters have been defined, we believe the model could robustly be  
588 applied to other settings to explore the impact of interventions.

589

590 Based on the output from the model, we can demonstrate that targets for 'eliminating viral  
591 hepatitis as a major public health threat by 2030' are unlikely to be met, unless there is a  
592 major scaling up of both vaccination and PMTCT efforts. These two interventions  
593 implemented together, with a focus on neonatal vaccination, offer the best chances of  
594 making a significant impact on population prevalence. Perhaps more importantly, the  
595 predicted impact is greatest among HBeAg+ carriers, who are at an elevated risk of chronic  
596 liver disease and hepatocellular carcinoma, as well as being at higher risk of transmission,  
597 and therefore constitute the bulk of the public health burden of HBV.

598

599 The model suggests long time-lines, enumerated in centuries rather than decades, for  
600 possible elimination. Although our population data demonstrate a substantial reduction in  
601 prevalence of HBV infection in children under the age of five years, which is likely to rest  
602 almost entirely on the success of the EPI delivery of HBV vaccination, this intervention is  
603 tackling only a small fraction of the total population. As HBV is already endemic, is often  
604 clinically silent, and may persist in infected carriers for decades (possibly for a life-time), the  
605 time-scale for elimination is long. However, the results of our simulations underscore that we  
606 can have a major public health impact even without achieving elimination. Careful adjusting  
607 of expectations and aims, according to the scale on which particular changes occur, may  
608 inform the setting of realistic targets (e.g. reduction in the prevalence of HBeAg+ carriers  
609 could be a useful outcome measure when assessing the impact of interventions across a  
610 population). The wrong choice of target and timescale could result in unnecessary  
611 abandonment of a strategy that could have a major impact in a few decades.

612

613 In conclusion, for all simulated combinations of interventions, the model demonstrates that  
614 elimination can only occur over long time-scales. In the context of single interventions, we  
615 demonstrated that vaccination in neonates was the intervention resulting in highest impact,  
616 followed by PMCTC and vaccination in older ages (>6 years). When interventions were  
617 combined, the best approach was PMCTC with vaccination of neonates. A catch-up  
618 campaign was demonstrated to be beneficial, but our simulations suggest that for realistic  
619 catch-up coverages the added value would be minimal.

620

621 Our findings are consistent with those of another recent simulation of HBV prevention that  
622 also highlights the need for an amplification of current interventions if international  
623 sustainable development goals for HBV elimination are to be achieved (30). Our models  
624 concur in concluding that current vaccine-based interventions will reduce HBV prevalence by  
625 only about 40% over 35 years. However, there are also some important differences between  
626 the two studies. For instance, the previous study (30) approximates model behaviour to a  
627 wide range of epidemiological settings across many geographical regions, while we focus on  
628 a particular population for which we derive unknown epidemiological parameters. Our  
629 Bayesian framework therefore stands alone (e.g. as a tool) that can be applied to any  
630 population for which empirical support of key HBV epidemiological parameters is missing.  
631 Another important difference is that we focus our elimination analysis based on total  
632 prevalence of HBV, while the earlier study (30) used incidence or HBV-related deaths. Our  
633 study highlights the importance of considering reduction of HBV prevalence in evaluating the  
634 public health burden of HBV, an issue that has not received sufficient attention to date.

635

636 **Caveats and limitations**

637 There are a number of caveats that should be considered when analysing and interpreting  
638 the clinical dataset. Different approaches to recruitment of HIV-positive and HIV-negative  
639 children may introduce unintentional bias or confounders. Using respiratory admissions to  
640 hospital for the KReC cohort provided us with an important opportunity to identify a sufficient  
641 number of children quickly, and to acquire blood samples from children who would already  
642 be undergoing venepuncture as part of their routine clinical care. However, this approach to  
643 recruitment predominantly selected younger children (on average 9.4 months younger than  
644 the HIV-positive cohort). This bias towards younger subjects in the HIV-negative group, gave  
645 us less data with which to assess waning of the anti-HBs response among these children  
646 with age. The KReC children may also be less healthy than a comparable group of HIV-  
647 negative children in the community.

648

649 When designing the study, we elected to focus on children aged under age 60 months in  
650 order to collect data from the RTHB which is not routinely carried by older children. In  
651 practice, however, we did not capture good RTHB data from the HIV-positive group who  
652 frequently did not bring this record to their clinic visits. Data collection from the RTHB is itself  
653 subject to bias, as families who attend with such records may be those who are most likely  
654 to have immunised their children, while those for whom data are missing could represent the  
655 families in which children have missed vaccine doses. In this and other settings where  
656 antenatal HBV screening is not routinely deployed (5,19,20), we deem it unlikely that there is  
657 a significant difference in vaccination rates between infants born to HBV-positive versus  
658 HBV-negative mothers. Numerous complex social factors are also relevant in determining  
659 whether children are immunised; babies born to mothers who have HIV and/or HBV are  
660 more likely to be disadvantaged by poverty, and by illness and death in the family, such  
661 that they might be less likely to present for (or respond to) vaccination.

662

663 We recognise that this is a small cohort of children, and that we may be underpowered to  
664 detect associations between anti-HBs titre and other parameters (i.e. there is a risk of Type  
665 II error). However, the convincing statistical associations between anti-HBs titre and both  
666 HIV status and age demonstrate sufficient power to detect important signals. Furthermore,  
667 we used cross-sectional data to investigate likely longitudinal patterns in anti-HBs titre  
668 decline over time. The relatively small numbers in each age group and the lack of  
669 longitudinal follow-up for individual children puts limitations on the interpretation of these  
670 data, but the changes we observe here are consistent with reports from the existing literature  
671 (40,63) and are compatible with a true biological phenomenon.

672



673 Our approach to screening for HBV infection in this population is limited by undertaking an  
674 HBsAg assay. A more robust assessment, capturing cases of occult infection, would require  
675 use of HBV DNA as a screening tool. In practice, this is too expensive for wide-spread  
676 deployment and was not practical for this study on the same grounds. The lack of  
677 understanding about the biological correlates of HBV-vaccine mediated immunity is another  
678 challenge. On pragmatic grounds, we have presented data for anti-HBs thresholds of both  
679  $\geq 10$  mIU/ml and  $\geq 100$  mIU/ml. In the long-term, better understanding of the correlates of  
680 protective immunity are required to tailor vaccine strategies to individuals or cohorts. Recent  
681 data suggest that the site of immunization, diurnal timing of vaccine doses, and time of day  
682 when samples are collected may also have significant impact on antibody titres (64),  
683 although existing data for HBV vaccine do not support this (65). In this study, we did not set  
684 out to capture these data, but they might be pertinent for future studies. We have also not  
685 addressed issues such as maintenance of the cold-chain and vaccine storage which can  
686 also influence efficacy. Finally, vaccine efficacy may be determined by the vaccine received;  
687 the children immunised in this cohort would have received the traditional monovalent vaccine  
688 (Biovac Paed), whereas children now being immunised in South Africa will have hexavalent  
689 vaccination (HBV/DTP/IPV/Hib, Hexaxim, Sanofi-Pasteur).

690

691 Alternative approaches for HIV-positive subjects, such as supplementing the current  
692 schedule with booster vaccinations and increased vaccine doses have been trialled with  
693 variable results (60). A promising recent study of HIV-positive children found that repeating  
694 the primary course of vaccination subsequent to response to ART generated lasting  
695 protective immune responses (51). We recognise the potential significance of ART treatment  
696 on HBV outcome in subjects with HIV/HBV coinfection, as first line ART regimens for this  
697 population consistently include either lamivudine (3TC) or tenofovir (TDF), both of which  
698 have activity against HBV. For all adults (including pregnant mothers) and adolescents, the  
699 first line regimen is currently TDF, Emtricitabine (FTC) and Efavirenz (EFV) at diagnosis and  
700 continuing for life (guidelines are available on-line at [www.health.gov.za](http://www.health.gov.za)). In the case of  
701 previous 3TC-based regimens, the potential for rapid selection of 3TC resistance in HBV  
702 means it is not possible to assume a 3TC-based regimen will suppress HBV, as we and  
703 others have previously identified (11)(66). In this specific cohort, we were unable to make a  
704 robust assessment of the impact of ART as we did not set out to collect detailed prospective  
705 ART treatment data, guidelines have changed numerous times since 2002 (and may also  
706 have differed depending on age and timing of diagnosis), and lamivudine was intermittently  
707 used as a substitute for nevirapine due to supply issues of the latter. Maternal TDF as part of  
708 a specific PMTCT regimen was unlikely to have been delivered at the time of this study, as  
709 antenatal HBV screening has not been routine practice to date (5). Together, these caveats



710 in our data clearly highlight the day-to-day challenges of drug provision and monitoring within  
711 this setting.

712

713 We present a parsimonious mathematical framework, not including, for instance, the  
714 proportion of the population infected with HIV, which may suffer from increased risk for  
715 vertical transmission and reduced vaccine efficacy. In the population studied here, ART has  
716 only been introduced in children achieving certain immunological criteria (as per old  
717 treatment guidelines), while in future, infected children will be started on treatment as soon  
718 as diagnosed (potentially at birth), which could be predicted to increase vaccine responses  
719 to similar levels as seen in the HIV-negative population; further studies will be required to  
720 assess this over time. More importantly, the effects of HIV and ART would be: (1) mostly in  
721 the absolute values of our projections, but not necessarily on the obtained differences in  
722 terms of impact between the simulated interventions; and (2) would be expected to make  
723 elimination more difficult, which would underscore our discussion points on goals for  
724 elimination. We also note that quantifications of time to elimination are problematic in a  
725 deterministic model such as ours, but our primary outcome is not to present a quantitative  
726 estimate for time to elimination, but rather to demonstrate that the predicted time scale is  
727 outside the proposed goals for 2030. We have not considered the influence of population  
728 migration on the success of interventions to eliminate HBV. Migration of non-immune and/or  
729 infected individuals into an area would delay the time to elimination estimated by our  
730 modeling approach. In the absence of clear data to underpin population migration in  
731 southern Africa, we have currently addressed our questions in the assumption that  
732 populations are static, but the potential impact on HBV control is an important consideration  
733 for regions in which there is significant population flux.

734

## 735 **Conclusions**

736 Our results are unique in presenting a detailed snapshot of the current situation, followed by  
737 a projection of future outcomes based on a mathematical model. We have affirmed the  
738 success of the HBV vaccine programme in reducing the prevalence of HBV in children, with  
739 current rates of <1% in the South African setting we have studied. This underlines the  
740 importance of ongoing immunisation, which is fundamental in preventing infection in the  
741 vulnerable early months of life. However, we also highlight that a small number of cases of  
742 HBV transmission continue, despite inclusion of the HBV vaccine in EPI, and that a  
743 proportion of children are potentially at risk of infection as a result of low anti-HBs titres,  
744 either as a result of incomplete immunisation, or because of poor antibody titres following  
745 vaccination (especially in the context of HIV infection). However, at a population level,

746 although neonatal immunisation is the best single intervention, our model demonstrates that  
747 this alone does not offer a route to elimination. Substantial reduction of population  
748 prevalence hinges on a combination of measures; the roles of catch-up vaccination and the  
749 need for major efforts in PMTCT are highlighted by our model. A meaningful and sustainable  
750 campaign to eliminate this infection also requires concerted efforts and investment in case  
751 finding and treatment, education, reduction of stigma, and sexual and reproductive health  
752 services. Ultimately, the only route to elimination of HBV may be to develop a cure.  
753

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950

## 951 **FIGURE LEGENDS**

952

### 953 **Figure 1. Diagram of HBV transmission model, statistical fitting and predicted impact** 954 **of single interventions.**

955 A: HBV transmission model, showing population groups who are susceptible (divided into  
956 infants ( $S_i$ ), children ( $S_c$ ) and older ages ( $S_a$ )), chronically infected (divided into HBeAg+ (C+) and HBeAg- (C-)), acutely infected (I), recovered (R) and vaccinated (V), and the transitions  
957 (Table 2) between these groups. Full details of the model are available in Supplementary  
958 Data File 2, and a summary in the Methods section of the main text. B: Distributions of pre-  
959 vaccination ODE model output at equilibrium for the fitted classes: expected proportion of  
960 acute infections (I, yellow), proportion recovered (R, green), relative proportions of C+ and  
961 C- (purple, red, respectively). Dashed vertical lines present the target proportions to be fitted  
962 based on the SA cohort and literature reports (values in Tables S2 and S3). C: MCMC  
963 posterior distributions obtained by the Bayesian approach for unknown parameters (marked  
964 fitted in Table 2). D: Dynamics of total HBV prevalence based on vaccination of newborns  
965 (starting at  $t=0$ ), with proportion vaccinated designated as  $\delta n$  (where  $\delta n=1$  is equivalent to an  
966 intervention that covers 100% of newborns). E: Dynamics of total HBV prevalence, based on  
967 implementing an intervention that prevents mother to child transmission (PMTCT, starting at  
968  $t=0$ ) by a proportion represented by parameter  $\zeta$  ( $\zeta=1$  is equivalent to averting 100% of  
969 possible transmission events). Fitted parameters as described in the Results section and all  
970 others as in Table 2.

971

### 972

### 973 **Figure 2: Hepatitis B surface antibody (anti-HBs) titres mediated by vaccination in** 974 **HIV-positive (HIV+) and HIV-negative (HIV-) children aged 6-60 months in Kimberley,** 975 **South Africa.**

976 A: Scatter plot representing vaccine-mediated antibody titres, indicating median and  
977 interquartile ranges, for HIV-positive and HIV-negative children (p-value by Mann Whitney U  
978 test). B: Proportion of HIV-positive and HIV-negative children with anti-HBs  $\geq 10$  mIU/ml (p-  
979 value by Fisher's Exact Test). C: Proportion of HIV-positive and HIV-negative children with  
980 anti-HBs  $\geq 100$  mIU/ml (p-value by Fisher's Exact Test).

981

982 **Figure 3: Relationship between age and vaccine-mediated Hepatitis B surface**  
983 **antibody (anti-HBs) titres in HIV-positive and HIV-negative children in Kimberley,**  
984 **South Africa.**

985 Ages of children attaining anti-HBs titres  $\geq 100$  mIU/ml for HIV-positive (A) and HIV-negative  
986 children (B) age 6-60 months. Median ages, interquartile ranges and p-values by Mann-  
987 Whitney U test are indicated. C, D: Relationship between age and vaccine-mediated Ab titre  
988 among HIV-positive children including those age 6-60 months and an older cohort age  $>60$   
989 months (range 64-193 months; see Table 4). P-value by Mann Whitney U test (panel C) and  
990 by Spearman's rank correlation test (panel D). E: Anti-HBs titre for HIV-positive and HIV-  
991 negative children according to age. Each point represents the mean titre for the group of  
992 children aged  $\leq 12$  months (1 yr), 13-24 months (2 yrs), 25-36 months (3 yrs), 37-48 months  
993 (4 yrs), 49-60 months (5 years).

994

995 **Figure 4. Odds ratios for protective response to HBV vaccination in children age 6-60**  
996 **months in Kimberley, South Africa.**

997 Odds ratios are shown for anti-HBs titre  $< 10$  mIU/ml and  $< 100$  mIU/ml in the whole cohort  
998 (grey) and in HIV-positive children (black). Statistically significant OR are denoted \* and  
999 significant p-values are indicated in bold.

1000

1001 **Figure 5. Impact of combined interventions on HBV prevalence and time to**  
1002 **elimination.**

1003 A1-3: time to elimination of HBV based on a threshold of 1 carrier per 1000 individuals in the  
1004 population. B1-3: Reduction of total HBV prevalence for 25 years after the start of  
1005 interventions. C1-3: Reduction of total HBV prevalence for 50 years after the start of  
1006 interventions. D1-3: Reduction in HBeAg+ carriers (model class 'C+') for 25 years after the  
1007 start of interventions. A/B/C/D: In all cases, the x-axis shows the proportion of neonates  
1008 vaccinated. Top row: neonatal vaccination combined with routine vaccination at older ages  
1009 ( $>6$  years old, y-axis). Middle row: neonatal vaccination combined with reduction in vertical  
1010 transmission (PMTCT, y-axis). Bottom row: neonatal vaccination combined with reduction in  
1011 vertical transmission (PMTCT, y-axis) after a catch-up campaign covering 100% of the

1012 susceptible population. Dashed lines are visual references for 70%, 80% and 90% of the  
1013 respective interventions. Parameters as in Table S1 of supplementary data file 2.

1014

#### 1015 **SUPPLEMENTARY DATA LEGENDS**

1016

1017 **Suppl data 1.** Metadata for three paediatric cohorts recruited in Kimberley, South Africa,  
1018 including longitudinal CD4+ T cell and viral load data for paediatric HIV cohort age  $\leq 60$   
1019 months in Kimberley, South Africa.

1020

1021 **Suppl data 2.** Variables used to inform a population-based model of HBV transmission and  
1022 prevention, with supporting references and a complete methods description for model of  
1023 HBV transmission and prevention.

1024

1025

1026

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1028 Nil

1029

1030 **CONFLICTS OF INTEREST**

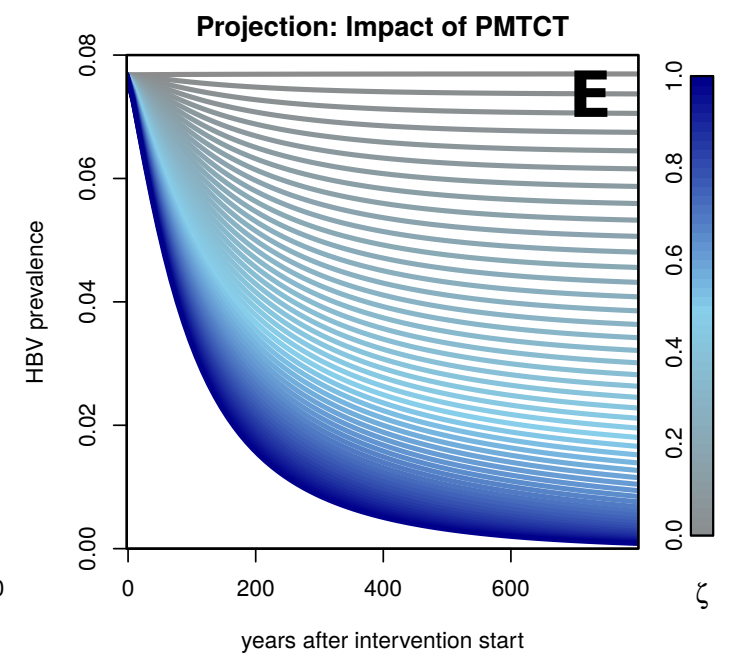
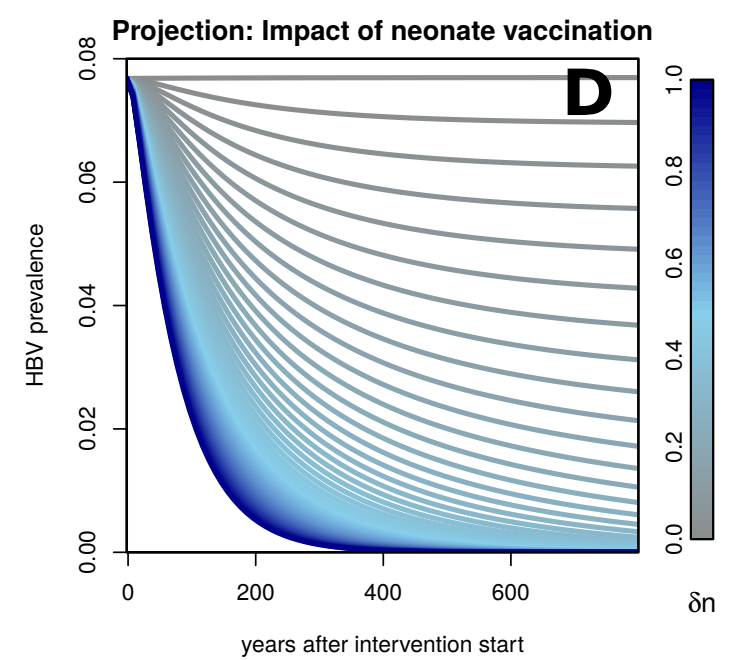
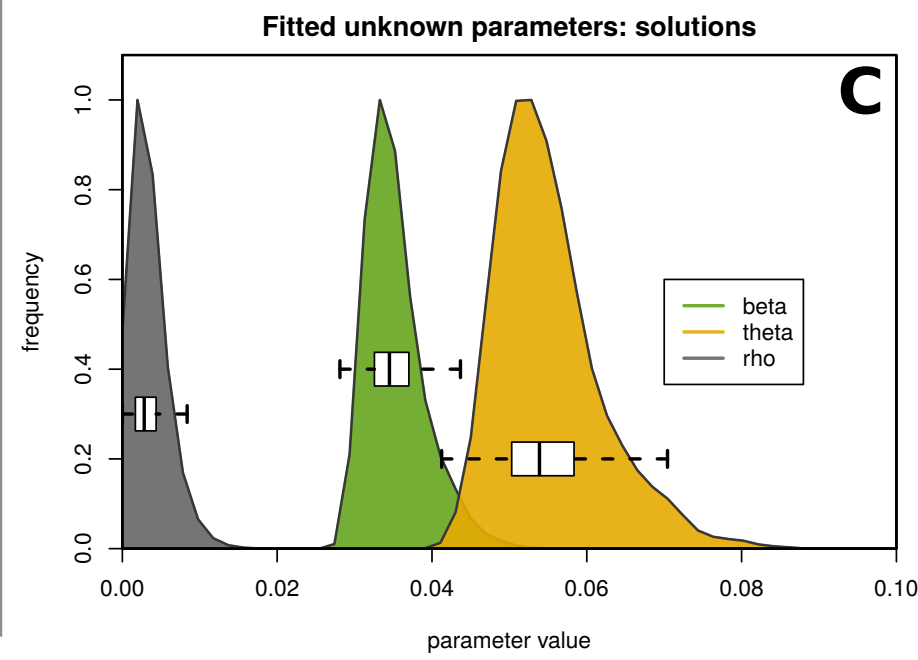
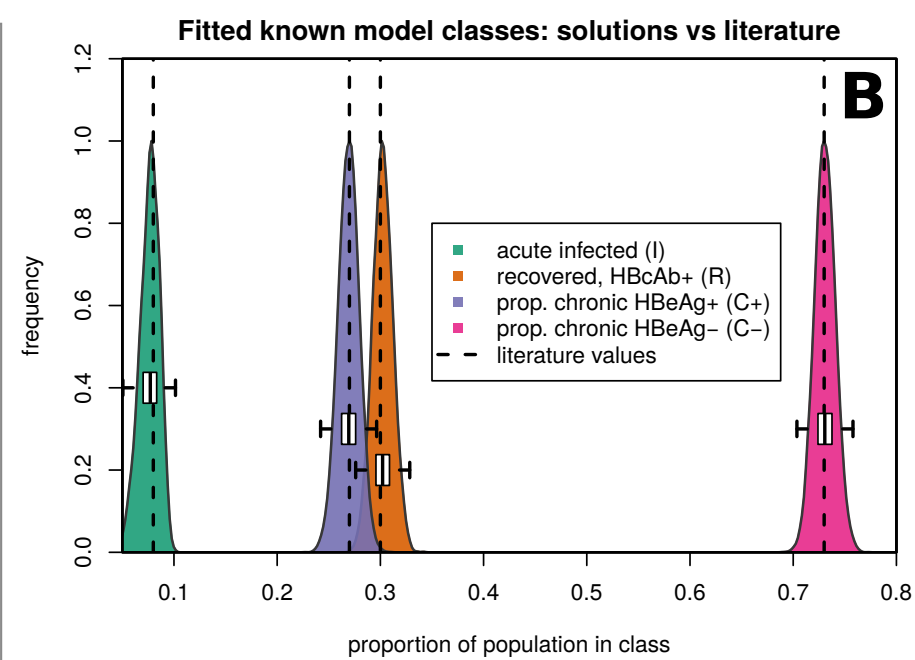
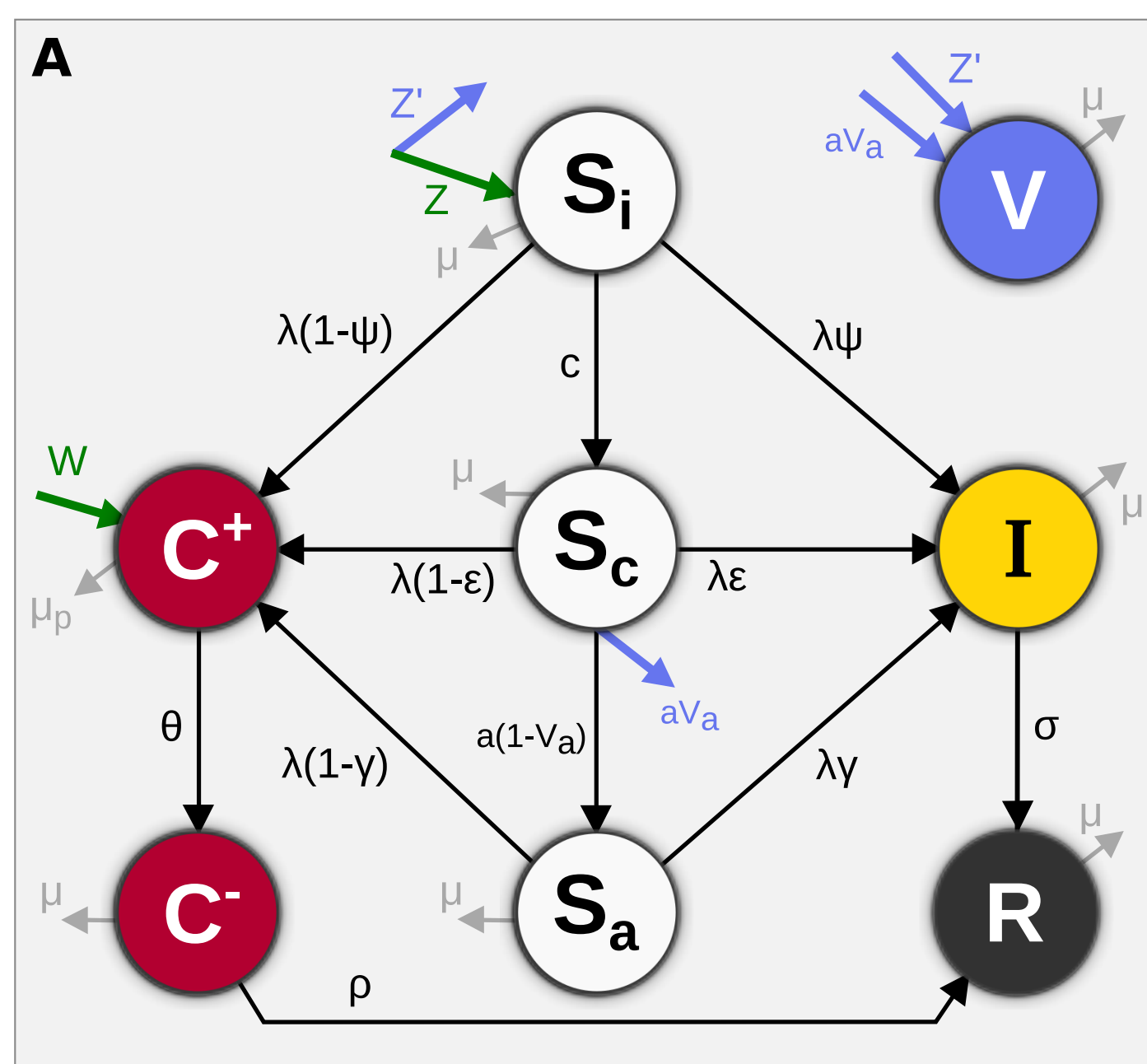
1031 None to declare

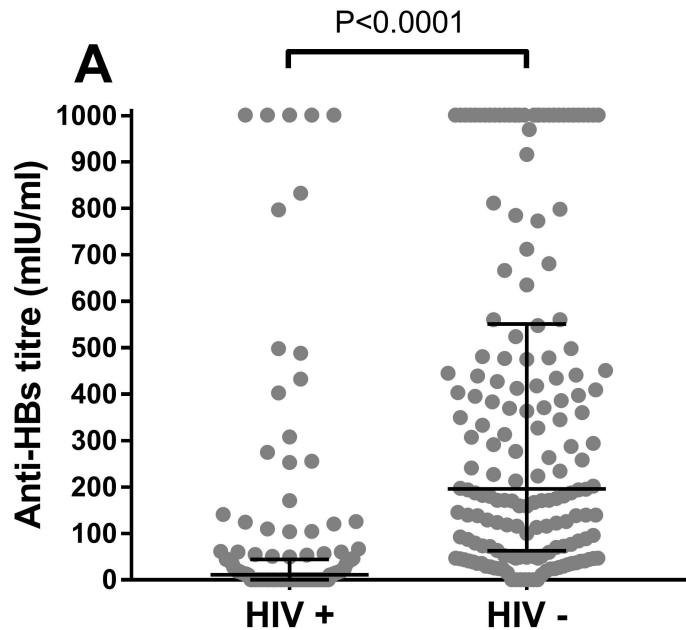
1032

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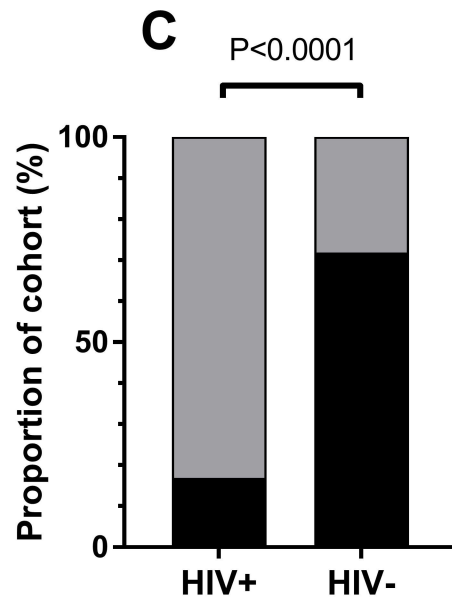
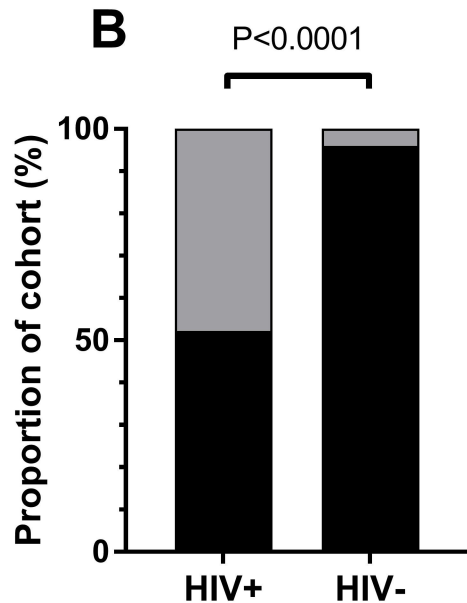
1043



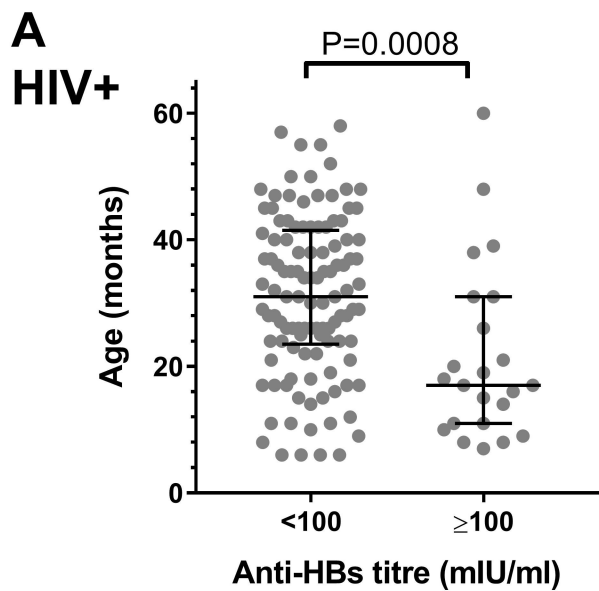


n = 136  
 Median titre  
 11.1 mIU/ml

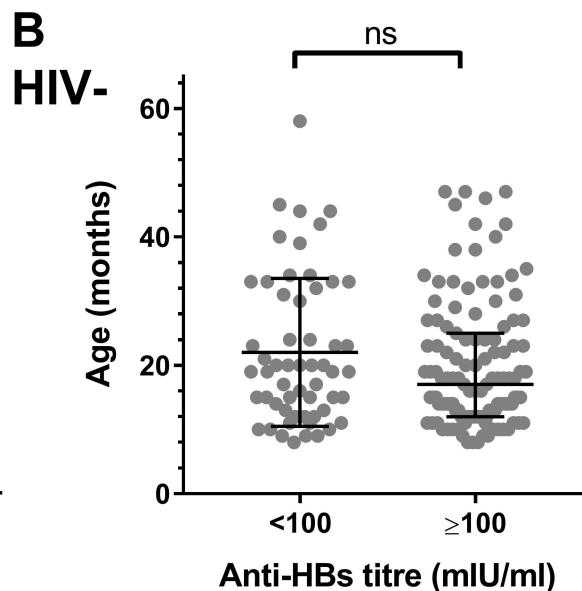
n = 174  
 Median titre  
 196.1 mIU/ml



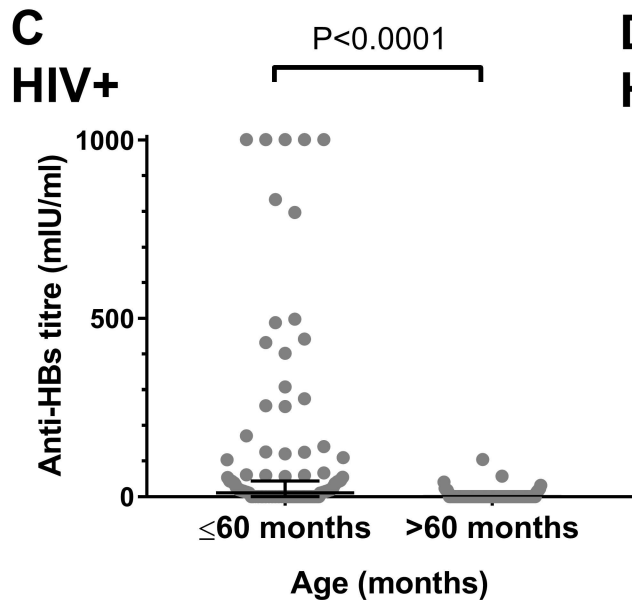
■ Vaccine response  
 ■ No vaccine response



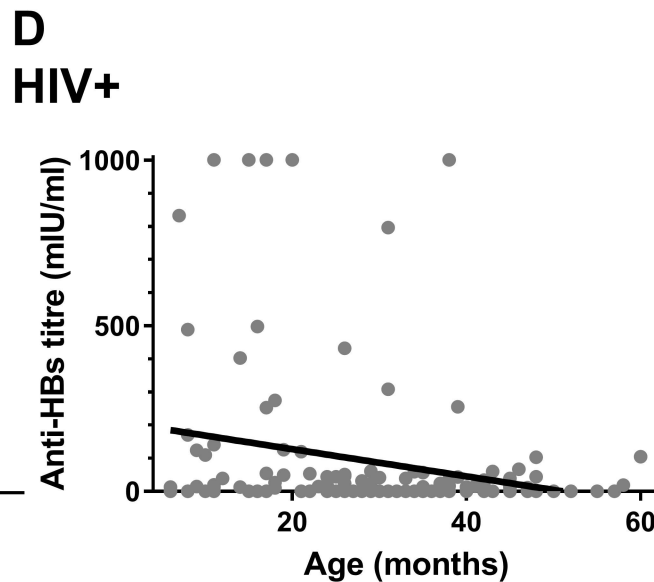
n=113	n=23
Median age	Median age
<b>31 months</b>	<b>17 months</b>



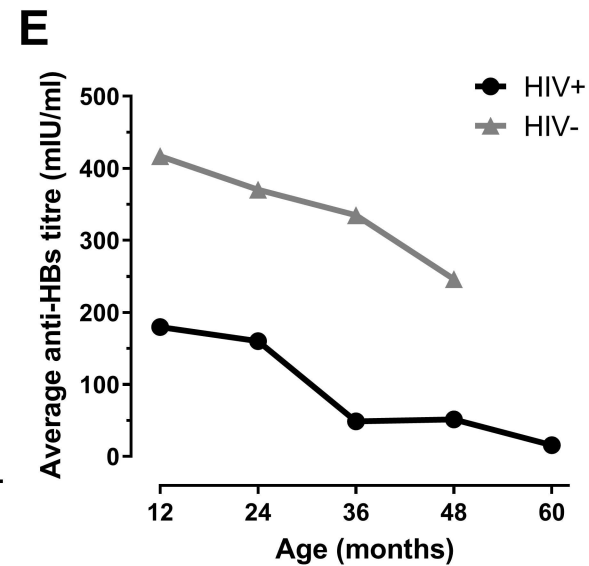
n=56	n=119
Median age	Median age
<b>19 months</b>	<b>17 months</b>



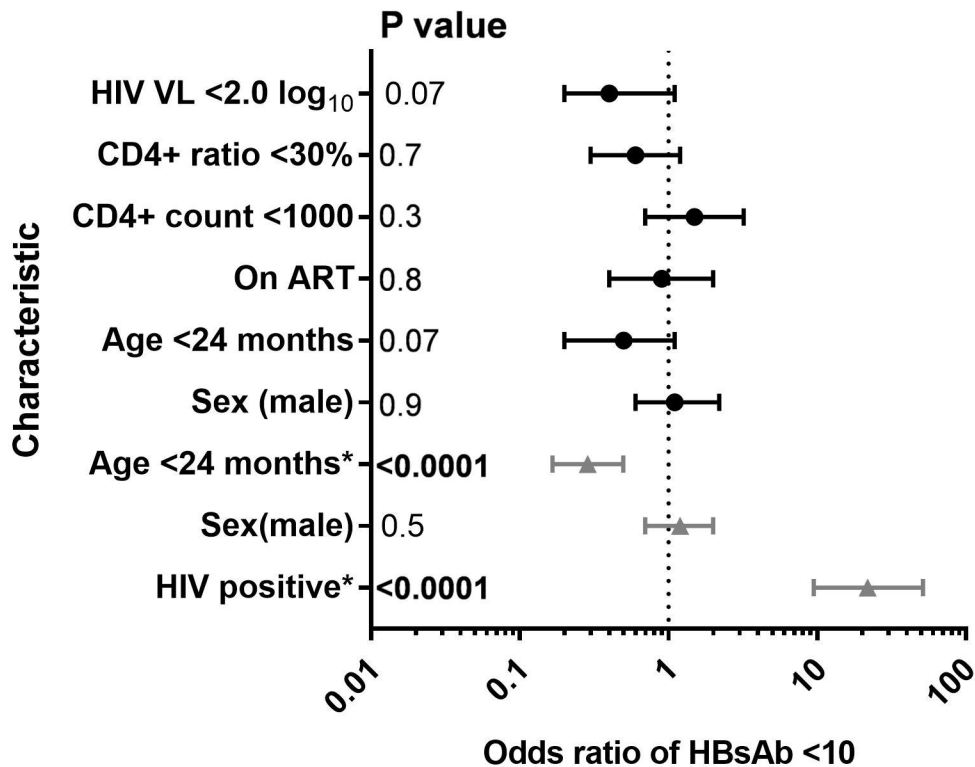
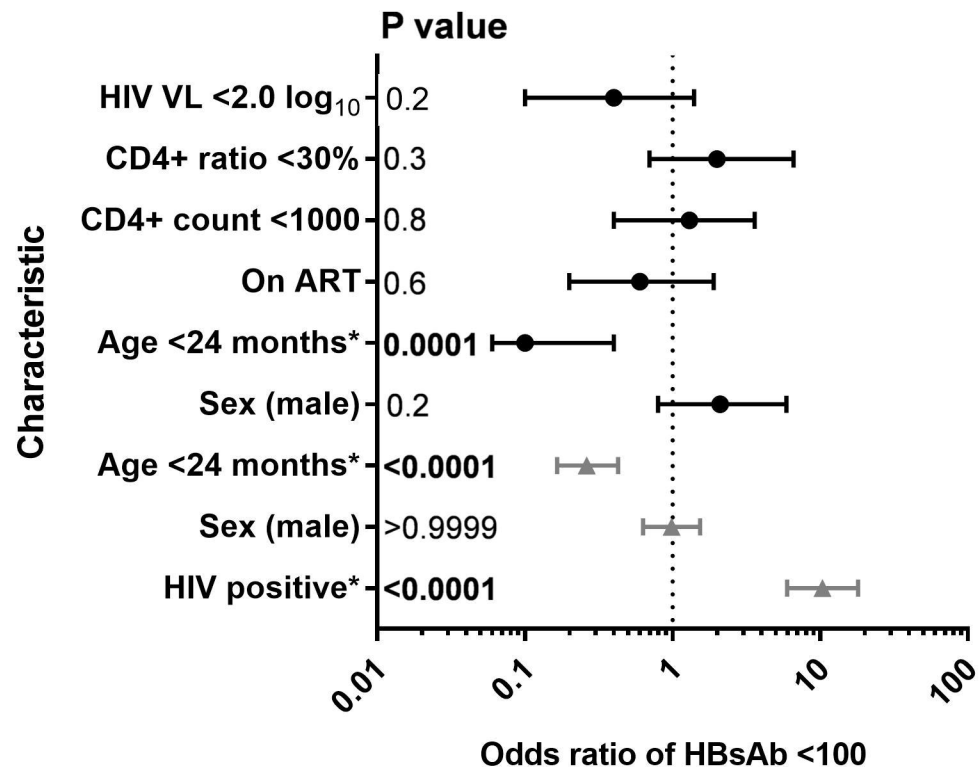
n=136	n=93
Median titre	Median titre
<b>11.1 mIU/ml</b>	<b>&lt;10 mIU/ml</b>



n=136
$R^2=0.06$
$P=0.004$

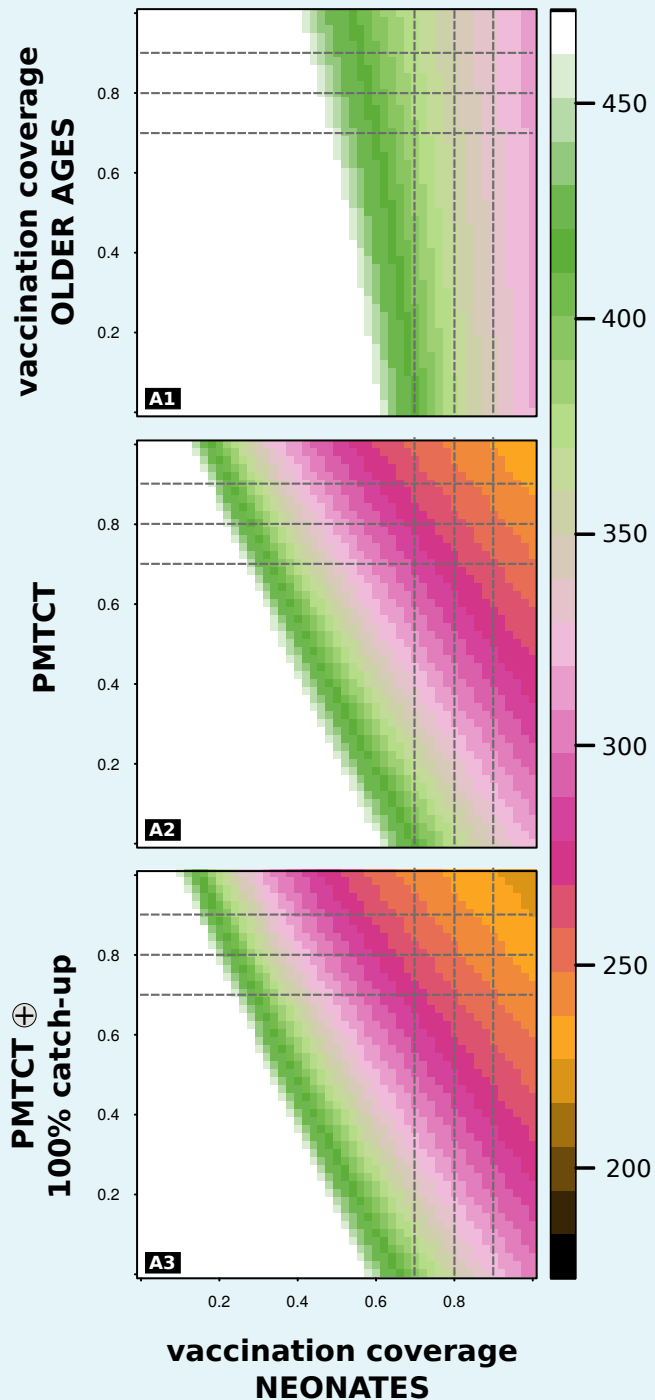




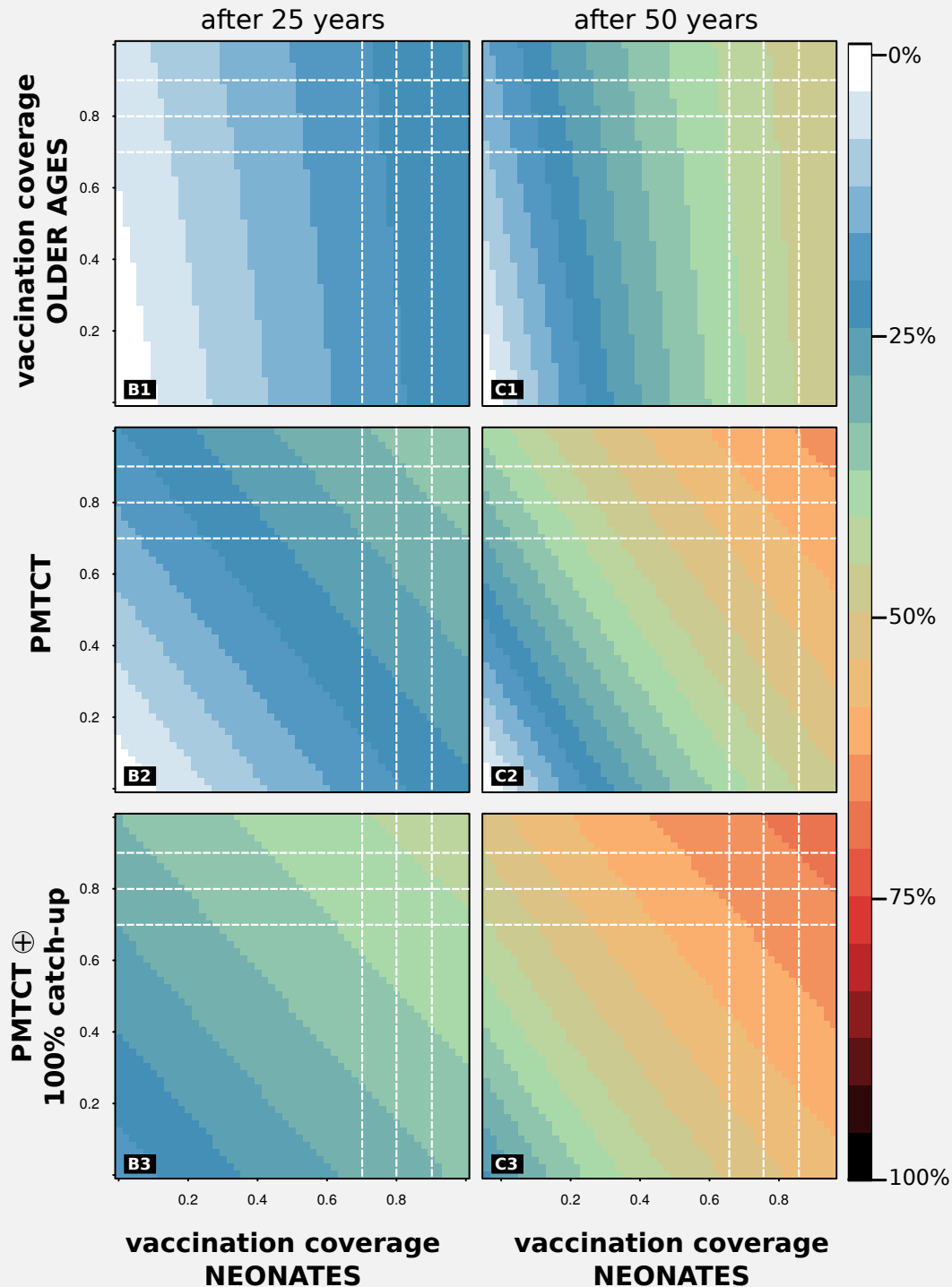
**A****B**

HIV-positive subjects = 60 months ●  
 All subjects = 60 months ▲

**YEARS FOR HBV PREVALENCE  
TO REACH 1 IN 1000 INDIVIDUALS  
IN POST-VACCINATION ERA**



**REDUCTION IN HBV PREVALENCE  
RELATIVE TO PRE-VACCINATION ERA**



**REDUCTION IN HBeAg+ PREVALENCE  
RELATIVE TO PRE-VACCINATION ERA**

