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1 **Evaluation of serological tests for H5N1 avian influenza on field samples from domestic**  
2 **poultry populations in Vietnam: consequences for surveillance.**

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26

27 Abstract

28 In Vietnam, serological post H5N1 vaccination surveillance using the HI test is applied to  
29 assess the efficiency of the vaccination in addition to virological monitoring. In this paper we  
30 report on the evaluations of the performances of the haemagglutination inhibition (HI) test  
31 and of a H5-ELISA, using chicken and duck field samples. The evaluations were conducted  
32 by comparison with a pseudotyped-based virus neutralization test (H5pp VNT) performed in a  
33 reference laboratory and considered as a “gold standard” and also by using methods  
34 developed for imperfect reference test. Their global accuracy and best cut-offs were also  
35 estimated. Results from the HI test for several haemagglutinin subtypes and from a  
36 commercial type A influenza competition ELISA were also compared.  
37 The results showed that performance of the HI test was very good in comparison with the  
38 H5pp VNT. Data also clearly supported the cut-off of  $\geq 4\log_2$  used for the HI test for chickens  
39 but, a  $3\log_2$  positivity cut-off would be more appropriate for ducks. When compared with the  
40 VNT, the H5-ELISA showed poor specificity when using the positivity cut-off specified by  
41 the manufacturer but could be used as a screening test if confirmed by the HI test or the  
42 H5ppVNT which presents some interests for large scale testing (no need for biosafety level 3  
43 conditions and high performance).  
44 A general and highly sensitive pre-screening can also be achieved using the detection of NP-  
45 specific antibodies with a competition ELISA. This appears of little interest in a context of  
46 high subtypes diversity where only a subtype is targeted for surveillance and control.

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50 Key words: avian influenza, H5N1, vaccination, Vietnam, serology, evaluation tests,  
51 influenza pseudotyped lentiviral particles.

52

53 **Introduction**

54 H5N1 Avian Influenza (AI) virus is a type A influenza virus from the Orthomyxovirus family.  
55 The H5N1 strains circulating intensively in domestic poultry in Asia since 2003 are highly  
56 pathogenic AI viruses (HPAI) (Peiris, 2009). Observation of poultry immune responses  
57 against the AI virus are commonly used either as a way to detect evidence of infection or to  
58 evaluate the vaccination efficiency. In order to correctly interpret results of serological tests, it  
59 is important (1) to understand the immunology of the population under surveillance or  
60 monitoring and (2) to know the performances of the tests being used. The performance of the  
61 test is defined here by its sensibility and its specificity.

62 Influenza viruses type A genome encodes for 10 viral proteins that can be divided into 3 main  
63 categories: the surface proteins (haemagglutinin HA, neuraminidase NA and matrix 2 (M2)  
64 the internal proteins (3 polymerase proteins PA, PB1, and PB2; the nucleoprotein (NP), the  
65 matrix 1 (M1) and the nonstructural proteins 2 (NS2)); and finally, the nonstructural protein 1  
66 (NS1) that is not packaged into the virus particle (Suarez and Schultz-Cherry, 2000). While  
67 the surface proteins (HA and NA) are the only antigens capable of inducing neutralizing  
68 antibodies and therefore a protective immune response, M2, NP and M1 proteins can also  
69 induce antibody response (Aymard et al., 1998; Suarez and Schultz-Cherry, 2000). The NP  
70 and M1 antigens have high sequence conservation that allows the detection of antibody from  
71 birds infected with any type A influenza viruses (Suarez and Schultz-Cherry, 2000). Several  
72 experimental infections conducted in chickens using low pathogenic strains showed that  
73 antibodies against HA, NA and NP protein have the same kinetic profile whereas the anti-M2  
74 response showed a different profile by being of shorter duration and disappearing more  
75 rapidly (Marche et al., 2010).

76 The most commonly used serological tests target the NP protein when the objective is to have  
77 a non sub-type specific test (*e.g.*: agar gel immunodiffusion (AGID), commercial or in-house

78 enzyme-linked immunosorbent assay (ELISA)), or the HA protein when a sub-type specific  
79 test is required (*e.g.*: hemagglutination inhibition (HI), virus neutralization test (VNT) or HA-  
80 specific ELISA)(WHO, 2002). Detection of antibodies against subtype-specific NA protein is  
81 also used but not routinely. Similarly, detection of antibodies against NS1 and M2 proteins  
82 are used to differentiate infected from vaccinated animals (DIVA strategy), but no routine  
83 tests are available (Siting et al., 2005).

84 Neutralizing antibodies are participating to protection; those directed towards HA are the  
85 more potent (Garcia et al., 2010; Suarez and Schultz-Cherry, 2000). In contrast, irrespective  
86 of their neutralizing activity, antibodies against HA, NA and NP are marker of infection.  
87 Some authors even indicate that detection of antibodies against NP protein provides a more  
88 sensitive test than detection of antibodies against HA protein (Marche et al., 2010).

89 Vietnam experienced severe epizootics of HPAI H5N1 from 2003 to 2005 before adopting a  
90 mass vaccination strategy to control the number of outbreaks in domestic poultry and to limit  
91 the number of human cases. With implementation of the vaccination, serological post-  
92 vaccination surveillance became an important tool to assess the efficiency of vaccination.  
93 Serological surveillance currently applied in Vietnam uses the HI test and aims at evaluating  
94 the immunity induced by the H5N1 vaccine on vaccinated birds and in some circumstances at  
95 detecting the circulation of H5N1 virus on non vaccinated ones. In addition, virological  
96 monitoring in market places and in non vaccinated population is also being applied. The use  
97 of sentinel birds in vaccinated flocks to detect virus circulation was not adopted in the  
98 country.

99 In this study, antibodies against HA were used as a marker for both infection and vaccination  
100 since we collected samples from partially vaccinated domestic poultry in Vietnam. Because  
101 the vaccine used in Vietnam is generated from a genetically modified reassortant H5N1 low  
102 pathogenic virus (referred to as Re-1) (Qiao et al., 2006), distinction between infected and

103 vaccinated birds is not possible when serological response against HA antigen is measured. In  
104 this paper we report on the evaluations of the performances of several diagnostic techniques  
105 under field conditions considering the two main species present in the country: chicken and  
106 duck. In particular, we have evaluated the performance of the HI test as well as of an H5-  
107 ELISA for its rapidity and easiness of implementation compared to the HI test. Results from  
108 the HI test for several haemagglutinin subtypes and from a commercial type A competition  
109 ELISA (detecting the NP antibodies) were also used for our evaluation. The evaluation of  
110 these tests were conducted by comparison with an influenza H5 pseudotyped based VNT  
111 performed in a reference laboratory as a reference assay given true serological status and also  
112 by comparing results of the different tests using methods developed for imperfect reference  
113 test . The neutralization assays are considered to be a sensitive and specific test for both  
114 animals and humans (WHO, 2002). The VNT applied in our study uses a H5-pseudotyped  
115 lentiviral particle for the neutralization-based assay (H5pp VNT assay) (Garcia et al., 2010)  
116 and was used instead of the conventional neutralization assay because it is recognized this  
117 method is at least as sensitive as the conventional method (Garcia and Lai, 2011; Tsai et al.,  
118 2009), does not need biosafety 3 level conditions, and is less labor intensive. Evaluation of the  
119 sensitivity and specificity of serological tests using field samples will be valuable for routine  
120 AI surveillance and post-vaccination evaluation in Vietnam.

## 121 **2. Materials and methods**

### 122 **2.1 Field data**

123 Four repeated cross sectional surveys were conducted over one year (2008-2009), in order to  
124 study the H5N1 HPAI seroprevalence in the domestic poultry population of the Red River  
125 Delta (Northern Vietnam). Around 1000 birds were sampled during each campaign with the  
126 farms (for farm poultry) or villages (for backyard poultry) being randomly selected in the  
127 study area. Fifteen birds were sampled from each selected epidemiological unit providing a

128 total of 4356 sera. The population was known to be partially immunized against H5N1 virus  
129 with the Re-1 vaccine produced by Weike Biological Company of the Harbin Veterinary  
130 Research Institute (Chinese Academy of Agricultural Sciences, Harbin, People's Republic of  
131 China). This vaccine derives its HA and NA genes from GS/GD/96 virus (belonging to H5N1  
132 clade 0) (Qiao et al., 2006).

133 Influenza H5 seroprevalence was estimated on the 4356 sera by the HI test specific for the H5  
134 subtype performed at the National Institute of Veterinary Research (NIVR) in Hanoi, Vietnam  
135 (results not presented nor discussed in this paper). Our sera were classified by species and  
136 production types (broiler and breeder) and other serological tests were also applied on  
137 different subsets of those sera.

138 One subset of sera was used for the evaluation of HI and ELISA tests as follows:

- 139 - 406 sera randomly selected from the chicken and duck breeder and broiler  
140 populations were tested using the H5pp VNT performed at HKU-Pasteur Research  
141 Centre.
- 142 - From those 406 sera, a subsample of 230 from the chicken and duck breeder'  
143 populations (96 and 134 respectively) was also tested using an H5-ELISA kit  
144 performed at the NIVR.

145 Another subset of sera was used to explore the possible cross reactivity of the H5-ELISA  
146 between HA subtypes. Initially 1103 sera randomly selected were tested by an influenza type  
147 A ELISA test kit, and from the positive samples, a subset of 260 sera were further tested by  
148 the H5-ELISA and by the HI test for H5 and other available subtypes ( H3, H4, H6 and H9).

## 149 **2.2 Serological tests**

150 The HI test was used to estimate the H5N1 seroprevalence on all sera samples collected  
151 considering that the main H5 subtype in Vietnam is the H5N1 HPAI and that the only vaccine  
152 being used is generated from a H5N1 virus. The analyses were performed at NIVR in Hanoi,

153 Vietnam. The test used a HA clade 1 antigen (A/Dk /Vietnam/6/03 H5N1) following the  
154 protocol described in the OIE manual. All sera were first heated-inactivated at 56°C for 30  
155 min. This method uses the ability of influenza virus to agglutinate red blood cells and  
156 measures inhibition of this process by anti-HA antibodies specific to the viral strain. Serum  
157 titers were expressed as  $\log_2$  values of the highest reciprocal dilution that showed complete  
158 inhibition of haemagglutination. All sera with a titer  $\geq 4\log_2$  were initially defined as positive  
159 following the most commonly used cut-off (OIE, 2008). The HI test was also used for 4 other  
160 AI subtypes commonly infecting the domestic poultry in the region: H9, H3, H6 and H4  
161 (A/Dk/HK/Y280/97 H9N2; A/Dk/Vietnam/12/03 H3N2; A/Teal/HK/W312/97 H6N1;  
162 A/Dk/Siberia/378/01 H4N6).

163 A subtype specific ELISA (ID-Screen<sup>®</sup> Influenza H5 Antibody Competition) was also  
164 applied on a selection of sera in order to evaluate the performances of this test. This test  
165 detects anti-H5 antibodies. Under the manufacturer's instructions, a sample is considered to  
166 be positive if it gives a result less than or equal to 50% competition and negative if it gives a  
167 result more than or equal to 60 % competition. The competition percentage was determined  
168 by the following formula: (OD of the sample divided by the OD of the mean value of the  
169 negative control) x 100, but results were presented using the inhibition percentage (100 -  
170 competition percentage).

171 A competition ELISA kit based on a blocking procedure and detecting antibodies against the  
172 internal nucleocapsid (NP) of influenza A virus (ID-Screen<sup>®</sup> Influenza A Antibody  
173 Competition) was used to estimate the Influenza A seroprevalence. Under the manufacturer's  
174 instructions, a result is considered positive if it displays a result lower or equal to 45% of  
175 competition and negative if it gives a result more than or equal to 50 % competition. The  
176 competition and inhibition percentages were calculated as described above.



177 Finally, 406 randomly selected sera (out of 4357) were also tested using as reference test, an  
178 influenza A (H5) pseudotyped lentiviral particle-based (H5pp) VNT performed at HKU-  
179 Pasteur Research Centre (Du et al., 2010; Garcia et al., 2010; Nefkens et al., 2007). The H5pp  
180 VNT was performed as described by Garcia et al. (2010). Briefly, two-fold serial dilutions of  
181 sera were incubated for 1 hour with luciferase encoding H5 pseudotyped lentiviral particles  
182 before transfer to a monolayer of Madin-Darby canine kidney (MDCK) cells and incubated at  
183 37 °C in 5% CO<sub>2</sub>. After 48h infection, Steady-Glo substrate (Promega) was added and  
184 luminescence read on a Microbeta luminometer (Perkin-Elmer). H5 antigen was derived from  
185 the HA clade 1 A/Cambodia/408008/2005 virus. The neutralization titer was determined as  
186 the dilution of serum that results in the inhibition of 50% of signal [as compared to negative  
187 (absence of virus) and positive (absence of sera) controls considered as 100% & 0%  
188 neutralization, respectively].

189

## 190 **2.3 Data analysis**

### 191 **2.3.1. General methodology for evaluating the Se and Sp**

192 Sensitivity (Se) is the proportion of diseased animals correctly identified by the test.  
193 Specificity (Sp) is the proportion of healthy animals correctly identified by the test. Se and Sp  
194 were evaluated separately for chicken and ducks in order to take into account possible  
195 differences in the tests' performance. Those differences are expected because of species  
196 specific natural inhibitory substances in the samples (a known source of trouble in the HI  
197 assays) or because the diversity of virus that could infect duck (and other aquatic birds) is  
198 theoretically much higher than for chicken and therefore may affect the match between the  
199 antigen used in the assays and the antigens that triggered the antibodies in the case of  
200 infection.

201 We calculated the Se and Sp of HI test using 3 methods: (1) Se and Sp and their 95% exact  
202 binomial Confidence Intervals (CI) were calculated using results from the H5pp VNT at a  
203 positivity cut-off of titer  $\geq 80$  as the true status; (2) adjustment on the Se and Sp were made  
204 using Staquet equations (Enoe et al., 2000; Staquet et al., 1981) assuming that the reference  
205 test is imperfect but with known Se and Sp and that the test to be evaluated and the reference  
206 test are conditionally independent given the true disease status (we fixed the Se and Sp of  
207 H5pp VNT using the cut-off titer of 80 at 0.90 and 0.99 respectively following the estimations  
208 made by Garcia (Garcia et al., 2010); and (3) we estimate the Se and Sp with their 95%  
209 probability interval by a Bayesian analysis for 2 dependent tests and 2 populations using code  
210 developed by Branscum et al (Branscum, 2003; Branscum et al., 2005). The 2 populations  
211 were either chicken broilers and chicken breeders; or duck broilers and duck breeder.

212 The Se and Sp of the H5-ELISA test were calculated using frequentist methods only (non  
213 Bayesian methods). Doubtful results from the ELISA test were not included into the Se and  
214 Sp calculation.

### 215 **2.3.2 Bayesian inference**

216 Bayesian analyses were performed on OpenBUGS (Spiegelhalter et al., 2007). Beta prior  
217 distributions were defined using informative prior information for the Se and Sp of the H5pp  
218 VNT test (based on Garcia and al, 2010) and the prevalence of the 2 populations (unpublished  
219 data from author Desvaux) (see Table 1 for details). Non informative priors were used for the  
220 Se and Sp of HI test and the correlation between tests (beta distributions (1,1) equivalent to  
221 uniform distributions (0,1)). A large sample of the posterior distributions was generated by a  
222 Markov Chain Monte Carlo (MCMC) algorithm, and the median of this sample is presented  
223 as a Bayesian estimate of our parameters. We presented the median together with the 2.5 and  
224 97.5 percentile points that define the 95% probability interval of our parameters.

### 225 **2.3.3 Receiver Operating Characteristic (ROC) analysis**

226 ROC analysis was used to globally assess the accuracy of the tests to be evaluated and to  
227 define their optimal cut-off points. ROC analyses were performed using *roctab* command in  
228 Stata (non-parametric ROC analyses). ROC curves were plotted using empirical data and the  
229 Area Under the Curve (AUC) was calculated. The AUC is a global (i.e. based on all possible  
230 cut-off values) summary statistic of diagnostic accuracy that is independent of the prevalence.  
231 A ROC curve is obtained by calculating the sensitivity of the test at every possible cut-off  
232 point, and plotting sensitivity against 1-specificity (Akobeng, 2007); the greater the AUC, the  
233 better the test. An AUC of 0.5 or less means the test is not able to differentiate cases and non  
234 cases (Akobeng, 2007). The best cut-off was then calculated using the “closest-to-(0,1)”  
235 criterion which is the cut-off that gives minimal value for  $(1-Se)^2+(1-Sp)^2$ .

236

### 237 **3. Results**

#### 238 **3.1 Evaluation of the HI test**

##### 239 **3.2.1 Evaluation of HI performances using defined cut-off**

240 Using H5pp VNT at a cut-off of  $\geq 80$  as a reference test, we evaluated the HI performance for  
241 detecting H5 neutralizing antibodies at a cut-off of  $\geq 4 \text{ Log}_2$ . We estimated that the Se of the  
242 HI test performed in Vietnam for chickens and ducks varies between 83% and 88% when both  
243 species are considered. However, when evaluating chicken and duck samples separately, we  
244 found that Se for H5 antibody detection in chickens was higher, whatever the calculation  
245 method used (between 91% to 100 % for chickens and between 74% to 81% for ducks) (Table  
246 2).

247 The AUC of the ROC curves (Table 2) were greater than 0.9 indicating high accuracy of the  
248 HI test when compared to the H5pp-based assay performed in the reference laboratory.

##### 249 **3.2.2 Best cut-off estimation**

250 When applying the “closest-to-(0,1)” criterion in the ROC analysis, we confirmed that the cut-  
251 off  $\geq 4\log_2$  is well suited for chickens in our population, but a cut-off of  $\geq 3\log_2$  for ducks  
252 would be more appropriate (Figure 1). For this  $\geq 3\log_2$  cut-off, the HI Se increases from 78%  
253 to 88% and the HI Sp decreases from 99% to 94.23%.

254

### 255 **3.3 Evaluation of the H5 ELISA**

#### 256 **3.3.1 Evaluation of H5 ELISA performance using defined cut-off**

257 Using H5pp VNT at a cut-off of  $\geq 80$  as a reference test, we evaluated the H5-ELISA  
258 performance for detecting H5 antibodies at the cut-off defined by the manufacturer (Table 3  
259 and 4). We estimated that the Se of the H5-ELISA was 100% but the Sp varied from 58% to  
260 70% according to the species and calculation methods used. The Sp value for ducks was  
261 lower than for chickens (between 55% to 58% and 69% to 70 respectively) (Table 4).  
262 Despite, low agreement ( $\text{Kappa} < 0.5$ ) between both tests using the manufacturer’s cut-off for  
263 H5-ELISA, the AUC of the ROC curves were superior to 0.9 indicating a global high  
264 accuracy of this ELISA test when compared to the H5pp-based assay performed in the  
265 reference laboratory. This indicates that different cut-offs may give better agreement for this  
266 ELISA as described below.

#### 267 **3.3.2 Best cut-off estimation**

268 When applying the “closest-to-(0,1)” criterion in the ROC analysis, we found that a different  
269 cut-off than the one proposed by the manufacturer should be selected. When both species are  
270 considered together, a positivity cut-off of  $\leq 18\%$  which gives a Se of 90% and a Sp of 82%,  
271 should be applied. A slightly different cut-off could be applied for chickens and ducks (21%  
272 and 16% respectively) to get a Se of 100% for chickens and 84% for ducks and a specificity  
273 of 86% for chickens and 89% for ducks. This cut-off, defined in comparison with H5pp VNT  
274 on field samples, is very different from the one proposed by the manufacturer (50%).

### 275 **3.3.3 Supporting data from influenza type A Elisa**

276 Of the 1103 samples randomly selected from our total number of sera, the overall type A  
277 seroprevalence on all species was estimated at 43% (95% CI: 40%-45%).

278 Among those 1103 samples, 12% (23/185) of the sera positive by HI test for H5 were  
279 negative for the ELISA A, giving indication of a possible higher sensitivity of the HI test.

280 Those 23 discordant sera presented an average mean H5 HI titer of 5.5 log<sub>2</sub>.

281 From the subset selection of 230 samples also tested by the H5-ELISA, less than 1% of the  
282 H5-ELISA positive sera were negative for the ELISA A, giving indication of good  
283 concordance between the 2 ELISA tests for the positive results (Table 5).

284 The comparison between HI test for different subtypes and H5-ELISA on 260 samples of  
285 ELISA A positive sera is detailed in Table 6. In this sample, 56% of the ELISA A positive  
286 sera were not identified by the HI test using H5, H6, H9, H3 or H4 antigens. Furthermore,  
287 from those 260 samples of ELISA A positive sera, around 10% of the H5-ELISA positive sera  
288 were positive by the HI test for HA subtypes other than H5.

289

## 290 **4. Discussion**

291 The aim of this study was to evaluate the performance of two H5 antibody detection methods  
292 based on field samples collected from a partially immunized population in Vietnam in  
293 comparison with a more sensitive and specific neutralization test used as reference.

294 We found that performance of the HI test performed at NIVR was very good in comparison  
295 with an H5pp-based assay at the influenza reference laboratory in Hong Kong. The globally  
296 lower Se for ducks might be explained by the use of an inappropriate positivity cut-off for that  
297 species. Data clearly supported the cut-off of  $\geq 4\log_2$  used for the HI test for chickens but, a  
298  $3\log_2$  positivity cut-off would be more appropriate in the domestic duck population in  
299 comparison with the reference test used. By changing the cut-off of the HI test for ducks we

300 increase the Se of this test on that population but as a consequence, we slightly reduce its  
301 specificity.

302 The Bayesian analysis, evaluating the HI test with some uncertainty related to the H5pp  
303 VNT's performance, also confirmed the global tendency of a higher Se for chickens  
304 compared to ducks.

305 When compared with the H5pp VNT, the H5-specific ELISA showed a major specificity  
306 problem at the manufacturer's positivity cut-off. Several hypotheses can be put forward to  
307 explain this difference. One of them could be that the H5-specific ELISA has a better cross-  
308 reactivity than the H5ppVNT to detect a variety of H5 strains. This hypothesis cannot be  
309 excluded but is also not fully supported by our data, since we can increase the agreement  
310 between the H5-specific ELISA and the reference test just by adapting the cut-off of the Elisa  
311 (Kappa increasing from 0.41 to 0.58 for the cut-off determined by the best-cut-off estimation,  
312 data not shown). We also increased the agreement between both tests by using a different cut-  
313 off (40 instead of 80) for the H5pp VNT (data not shown) indicating that disagreement  
314 between the two techniques mainly occurs for the sera with low titer considered to be non  
315 specific by the reference method. Furthermore, the observation that 10% of the H5-ELISA  
316 positive are actually positive to subtypes other than H5 by the HI test, supports the hypothesis  
317 that H5-specific ELISA cross-reacts, to a certain extent, with other HA subtypes. In  
318 conclusion, the best cut-off estimations for the H5-specific ELISA would be in the high  
319 positive range in comparison to the manufacturer's recommendations, so the test could only  
320 be considered to be accurate in identifying birds giving a high positive reaction. To date, no  
321 other studies are available on the assessment of H5-specific ELISA test either under  
322 experimental or field conditions.

323 The HI testing with selected subtypes on a subset of type A ELISA positives showed around  
324 55% of the sera could not be subtyped by HI test when the most common HA subtypes for

325 poultry in the region were used. Either the type A blocking ELISA is more sensitive for  
326 detecting birds exposed to influenza viruses than the HI test for specific subtypes or there are  
327 other HA subtypes circulating that were not tested for. This difference of results between  
328 samples tested with a competitive or blocking type A ELISA detecting NP antibodies and the  
329 HI test, suggesting an apparent higher sensitivity of the ELISA method, was described and  
330 discussed previously for studies using field samples from different bird species (Perez-  
331 Ramirez et al., 2010; Starick et al., 2006). Experimental studies also indicated that  
332 competitive type A ELISA tests were able to detect an antibody reaction earlier than the HI  
333 test (Song et al., 2009; Starick et al., 2006). Those findings are supported by the observation  
334 of the NP antibody kinetic profile after infection using the same type A ELISA kit (Marche et  
335 al., 2010). Therefore, to assess those observations it would have been necessary to sample the  
336 birds at a later date or to conduct HI tests using all the other AI subtypes as well as  
337 representatives of the main H5 clades. Nevertheless, it is difficult to justify that around 12%  
338 (23/185) of the H5 HI positive sera (out of the 1103 sera tested by the type A ELISA) were  
339 negative for the type A ELISA. This would either suggest a higher sensitivity of the HI test  
340 compared to the type A ELISA as described for a blocking ELISA on an experimental trial on  
341 ducks (Spackman et al., 2009), or this would indicate a lower specificity for the HI test  
342 (perhaps some sera with a low HI titer were false positives).

## 343 **5. Conclusion**

344

345

346 The strategy currently applied in Vietnam that uses the H5 HI test on sera samples for  
347 estimating the proportion of birds responding to vaccination against H5N1 or exposed to the  
348 virus, proved to be good in comparison with a H5ppVNT using the same HA clade.  
349 Nevertheless the cut-off for ducks needs to be changed to obtain a non biased estimation of

350 the proportion of seropositive birds. Differentiation between vaccinated and non vaccinated  
351 birds remains an issue but can be by-passed by appropriate record of vaccination status and  
352 regular virological monitoring.

353 From the study it can also be concluded that a H5 ELISA with a good sensitivity could be  
354 used as a screening test in a surveillance programme aiming at determining the proportion of  
355 birds having significant antibody titers to H5N1 viruses as a result of prior infection or H5N1  
356 vaccination as long as positive sera are being re-tested by a more specific method. The H5 HI  
357 and/or the H5ppVNT could be suitable options for confirmation. The H5pseudotyped based  
358 VNT, even if more costly than the HI test, presents the advantages of having a less subjective  
359 reading as well as better performances, and does not need biosafety level 3 conditions. This  
360 test could be particularly interesting for large scale testing in the context of highly pathogenic  
361 strains surveillance where a specific subtype is targeted. Furthermore, there is a need to  
362 validate the manufacturer positivity cut-off for the H5-ELISA and possibly to adapt it to the  
363 study population. In complement to H5 HI or H5ppVNT, a N1-specific ELISA could be an  
364 interesting option to support the identification of the strains circulating on non vaccinated  
365 birds but needs to be validated on the poultry population of interest.

366 In addition, in a context where the diversity of subtypes is known to be low, a general and  
367 highly sensitive pre-screening can be achieved using the detection of NP-specific antibodies  
368 with a competition ELISA. It also presents the advantages of being less subject to reader  
369 interpretation and can be implemented in an ordinary laboratory (no need to work on a  
370 biosafety level 2 or 3 conditions). In the epidemiological context of Vietnam with a high  
371 seroprevalence of type A influenza virus resulting from the circulation of a diversity of avian  
372 influenza subtypes, this type of test appears of little interest because the surveillance needs to  
373 specifically targets the sub-types involved in the national disease surveillance and control  
374 programme.



375 Finally, to adequately fit the antigens being used for serological surveillance, regular virus  
376 detection and characterisation, as this is being done in Vietnam, is an essential component of  
377 the surveillance programme.

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389

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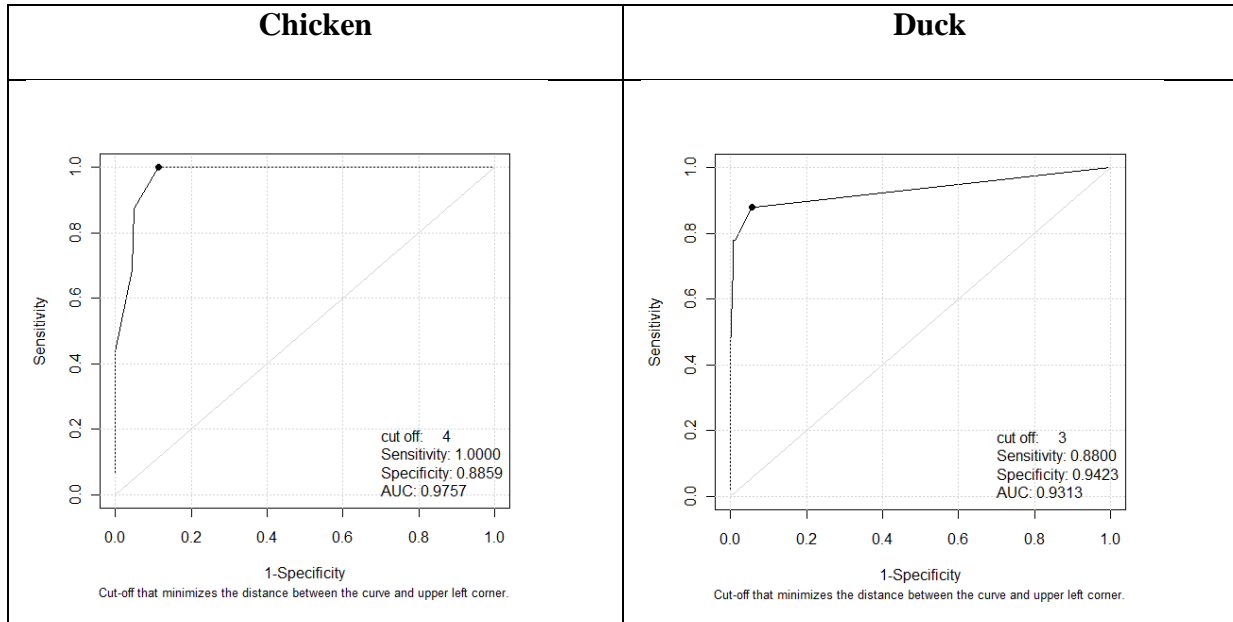
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464 **Figures caption**  
 465 Figure 1. Determination of the optimal cut-off for HI test using “closest-to-(0,1)” criterion

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**Tables**

Table 1. Input information used to define beta prior distributions of the 2 Bayesian models

Bayesian analysis for chicken population			Bayesian analysis for duck population		
Parameters	95% sure the parameter is	Mode	Parameters	95% sure the parameter is	Mode
Prevalence of chicken breeders population	> 15%	25%	Prevalence of duck breeders population	> 25%	30%
Prevalence of chicken broilers population	< 30%	10%	Prevalence of duck broilers population	< 30%	10%
Se H5pp VNT	> 85%	90%	Se H5pp VNT	> 85%	90 %
Sp H5pp VNT	> 95%	99%	Sp H5pp VNT	> 95%	99%

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Table 2. HI test performances using H5pp VNT at a cut-off of  $\geq 80$  as a reference test

	<b>All species (n=406)</b>	<b>Chickens (n=200)</b>	<b>Ducks (n=206)</b>
	<b>Value (95% CI)</b>	<b>Value (95% CI)</b>	<b>Value (95% CI)</b>
<b>Se (1)</b>	<b>83%</b> (72.1% - 91.4%)*	<b>100%<sup>a</sup></b> (79% - 100%)*	<b>78%<sup>b</sup></b> (64% - 89%)*
<b>Sp (1)</b>	<b>94%</b> (90% - 96%)*	<b>89%<sup>a</sup></b> (83% - 93%)*	<b>99%<sup>b</sup></b> (97% - 100%)*
<b>PPV</b>	71% (60% - 81%)	43% (27% - 61%)	98% (87%-100%)
<b>NPV</b>	97% (94%- 98%)	100%	93% (89%-97%)
<b>Kappa</b>	0.72 (0.62-0.82)	0.55 (0.43-0.68)	0.83 (0.69-0.96)
<b>AUC</b>	0.94 (0.90-0.96)*	0.98 (0.94-0.99)*	0.93 (0.89-0.96)*
<b>Se adjusted (2)</b>	<b>88%</b>	<b>100%</b>	<b>81%</b>
<b>Sp adjusted (2)</b>	<b>80%</b>	<b>82%</b>	<b>79%</b>
<b>Se adjusted (3)</b>	na	<b>91%</b> (83%-93%)**	<b>74%</b> (60%-87%)**
<b>Sp adjusted (3)</b>	na	<b>88%</b> (83%-93%)**	<b>98%</b> (95%-100%)**

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\* Exact Binomial CI

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\*\* Probablity interval

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(1) Estimation of Se and Sp using H5pp VNT as a reference test given true serological status

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(2) Adjustment using equations for Se and Sp proposed by Staquet et al

485

(3) Adjustment using Bayesian analysis assuming conditional dependence

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<sup>a, b</sup> Different lower-case superscript letters indicate a significant ( $p < 0.05$ ) difference between groups

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(per row) with the use of a Student—t-test with unequal variance

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490 Table 3. Contingency table for the comparison between H5-ELISA and H5pp VNT assays  
491 including both chicken and ducks species

	H5pp VNT positive	H5pp VNT negative	Total
H5-ELISA positive	48	66	114
H5-ELISA negative	0	107	107
H5-ELISA doubtful	0	9	9
	48	182	230

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Table 4. H5-ELISA test performances using H5pp VNT at a cut-off of  $\geq 80$  as a reference test given true status.

	<b>All species (n=221) Value (95 % CI)</b>	<b>Chickens (n=92) Value (95% CI)</b>	<b>Ducks (n=129) Value (95% CI)</b>
<b>Se (1)</b>	100% (93%- 100%)*	100% (72%-100%)*	100% (91%- 100%)*
<b>Sp (1)</b>	62% (54%- 69%)*	69% <sup>a</sup> (58%- 79%)*	55% <sup>b</sup> (45%- 66%)*
<b>PPV</b>	42% (33%- 52%)	31% (16%- 48%)	47% (36%- 59%)
<b>NPV</b>	100% (97%- 100%)	100% (94%-100%)	100% (93%-100%)
<b>Kappa</b>	0.41 (0.31-0.52)	0.35 (0.19-0.50)	0.42 (0.28-0.56)
<b>AUC</b>	0.92 <sup>1</sup> (0.88-0.95)*	0.94 <sup>2</sup> (0.87- 0.98)*	0.91 <sup>3</sup> (0.85-0.95)*
<b>Se adjusted (2)</b>	100%	100%	100%
<b>Sp adjusted (2)</b>	64%	70%	58%

\*95% exact Binomial CI

(1) Estimation of Se and Sp using H5pp VNT as a reference test given true serological status

(2) Adjustment using equations for Se and Sp proposed by Staquet et al

<sup>1</sup> n = 230, <sup>2</sup> n =96, <sup>3</sup> n=134

<sup>a, b</sup> Different lower-case superscript letters indicate a significant ( $p < 0.05$ ) difference between groups (per row) with the use of a Student—t-test with unequal variance

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499 Table 5. Concordance between the ELISA-A and the H5-ELISA positive results

		H5-ELISA			Total
		Negative	Positive	Doubtful	
ELISA A	Negative	57	2	0	59
	Positive	46	111	9	166
	Doubtful	4	1	0	5
	Total	107	114	9	230

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Table 6. Results of the HI tests applied on 260 ELISA type A positive samples and comparison with H5-ELISA results

HI results	H5-ELISA			Total	%
	Negative	Positive	doubtful		
H3	0	1	0	1	0.4
H3 H4	0	2	0	2	0.8
H4	1	2	0	3	1.2
H4 H9	2	0	0	2	0.8
H5	0	58	2	60	23.1
H5 H4	0	2	0	2	0.8
H5 H4 H6	0	1	0	1	0.4
H5 H4 H9	0	1	0	1	0.4
H5 H6	0	2	0	2	0.8
H5 H9	0	5	2	7	2.7
H6	2	0	0	2	0.8
H6 H9	1	0	0	1	0.4
H9	19	10	2	31	11.9
Not identified	68	68	9	145	55.8
<b>Total</b>	<b>93</b>	<b>152</b>	<b>15</b>	<b>260</b>	<b>100%</b>

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