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For Peer Review

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10

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7 evaluation of the correlation between ELISPOT and VZV skin test.

1 **Introduction.** Previous cross-sectional and cohort studies mostly in western countries
2 have examined the incidence and risk factors for herpes zoster. However, the evidence
3 from Asians has been limited and no cohort study has been conducted in Asian countries.
4 We carried out a 3-year cohort study in Shozu County, Kagawa Prefecture to clarify the
5 incidence, predictive and immunological factors for herpes zoster among Japanese.

6 **Methods.** We recruit registrants and make them a follow-up for 3 years, doing telephone
7 surveys once every 4 weeks. The registrants are classified into study A, B, and C by study
8 contents. We conduct past history of herpes zoster and health questionnaires for study A
9 registrants, Varicella-zoster virus (VZV) skin test for study B registrants, and blood tests
10 for study C registrants as a basic survey. If the registrants develop herpes zoster, we
11 conduct 1) evaluation of clinical symptoms, 2) measurement of cell-mediated immunity
12 and humoral immunity using venous blood sampling, 3) photography of skin areas with
13 rash, 4) virus identification tests by PCR and virus isolation from crust sampling, and 5)
14 evaluation of postherpetic pain.

15 **Results.** We recruited successfully 12,522 registrants with 72.3% participation rate of the
16 target population aged ≥ 50 years in the Shozu County between December 2009 and
17 November 2010.

18 **Conclusions.** The present study will provide the evidence on the incidence and predictive
19 and immunological factors for herpes zoster in a defined community-based population of
20 Japanese.

1 **Introduction**

2 Varicella-zoster virus (VZV) causes varicella in childhood as an initial stage of its
3 infection.^{1,2} After the establishment of initial infection, VZV is considered to latently
4 infect the sensory nerve ganglia of host throughout its lifetime and, to be reactivated by
5 immunocompromisation, aging, stress, overworking, and decline in cell-mediated
6 immunity, and to cause herpes zoster.³

7 Previous epidemiological studies on herpes zoster have shown the incidence rate,⁴⁻⁷
8 age^{4-10, 13-15} and gender^{4, 6-12} difference, seasonality,^{6-7, 9, 13, 16-17} family history,²¹⁻²²
9 underlying diseases,^{12, 23-27} lifestyle factors¹⁸⁻¹⁹ and sociopsychological factors.^{6, 19-20}

10 In the United States, Oka/Merck VZV vaccine with at least 14 times higher potency than
11 that of Varivax of Oka/Merck strain has been used. That vaccine was shown to have a
12 preventive effect, was approved as a herpes zoster vaccine,⁴ and is now recommended for
13 individuals aged ≥ 60 years by the Advisory Committee for Immunization Practices
14 (ACIP).⁷

15 In Japan, however, no epidemiological study on herpes zoster has been conducted and
16 its epidemiology remains unclear. Therefore, no herpes zoster vaccine has been
17 developed in this country.

18 We carry out a 3-year prospective cohort study in Shozu County, Kagawa Prefecture to
19 clarify the incidence and predictive and immunological factors for herpes zoster. Herpes
20 zoster is believed to occur when cell-mediated immunity declines,²⁸⁻²⁹ but no data have
21 been available what cell-mediated immunity level is critical for the clinical occurrence.
22 Therefore, in this study, we clarify the relationship of the state of cell-mediated immunity
23 evaluated by VZV skin test using Varicella antigen "Biken"³⁰⁻³² and quantified by

1 immunity measurements with risk of herpes zoster. If the skin test is proven useful as a
2 predictor for herpes zoster, a high risk group can be identified. The skin test may also
3 provide a useful index for the estimation of vaccine effectiveness.

4 **Methods**

5 **Research community**

6 Shozu County, Kagawa Prefecture is an administrative division, consisting mainly of
7 Shodoshima Island (area: 153.30 km²) and Teshima Island (area: 14.49 km²) with a
8 census population of 33,782, of which 32.8% were \geq aged 65 years on July 1, 2008.
9 That research county was selected from the following four criteria: 1) a stable population,
10 2) the use of self-government bodies, by which information can be transmitted smoothly
11 through the population, leading to a high registration rate, 3) good cooperation by clinics
12 and hospitals in the islands, where most residents consult these medical organizations,
13 facilitating the acquisition of information concerning the occurrence of herpes zoster in
14 the cohort and 4) the establishment of field research team which collects biological
15 samples (blood, crust, or bulla fluid) from those who have developed the disease, and
16 transport rapidly the samples to the central laboratory.

17

18 **Target population and registrants**

19 The target population is residents of Shozu County with Japanese nationality aged \geq 50
20 years on October 1, 2008. Although herpes zoster occurs in persons of all ages, its
21 incidence rapidly increases after the age of 50 years.^{10,15} Then, the target population was
22 restricted to those aged \geq 50 years.

1 The provisional registrant is a person who signed a registration form. The items of the
2 registration form were address, telephone number, name, gender, date of birth, age, study
3 category of the subject's choice, clinics or hospitals that the subject will probably consult
4 if he/she develop herpes zoster, and time of the day convenient for telephone surveys.

5 The documents necessary to complete registration were sent to 12,896 provisional
6 registrants by confidential mail, and those who completed the procedure were formally
7 registered. Eventually, there were 12,522 final registrants (registration rate: 72.3%).

9 **Study period**

10 The survey period is 3 years after registration between April, 2009 and November, 2012.

11

12 **Study category**

13 As shown in Table 1. There are three studies A, B, and C. In study A, we conducted a
14 questionnaire and telephone survey and, if the subject develops herpes zoster during the
15 study period, surveys at the onset and the recovery stage, as a basic survey. Study B was
16 the VZV skin test at registration to examine the state of **cell-mediated immunity** during a
17 healthy period in addition to the basic survey. Study C was to examine cell-mediated
18 (ELISPOT) and humoral immunity (neutralizing antibody, gp-ELISA and IAHA) using
19 serum at registration and after 1, 2, and 3 years for subjects selected from those who have
20 undergone study B.

21 The registrants chose one of the three studies under the restriction in the number of
22 entries, i.e., 5,000 to 7,500 for study B and 200 to 300 for study C. The participants in
23 study C were selected by drawing lots, because the registrants who wished the enrollment

1 exceeded the target numbers. As a result, 5,685 and 365 of the 12,522 registrants were
2 enrolled in studies B and C, respectively.

3

4 **Study hypotheses**

5 We attempted to verify the following major hypotheses in study A (Table 2); 1) the
6 annual age-adjusted incidence of herpes zoster is approximately 10 per 1,000 persons
7 aged ≥ 50 years,⁴ 2) the incidence of herpes zoster and postherpetic neuralgia increases
8 with age,⁴⁻⁵ 3) there is no sex difference in the incidence of herpes zoster and postherpetic
9 neuralgia,^{4, 8, 10} 4) the incidence of herpes zoster is frequent mostly from July to October
10 which is off season of chicken pox,^{9, 13-14} but, there is no seasonality for postherpetic
11 neuralgia, 5) underlying diseases, stress, sleep deprivation, inadequate intake of fruits and
12 vegetables, smoking, drinking, depression, family history of herpes zoster increase risks
13 of herpes zoster and postherpetic neuralgia,^{12, 18-19, 22-27} 6) perceived good health, exercise,
14 optimism, positive well-being and social support are associated with enhanced reaction in
15 VZV test and decrease risks of herpes zoster and postherpetic neuralgia,^{19, 20} and 7) the
16 severer degree of pain at onset of herpes zoster, the higher risk for postherpetic neuralgia.

17 The hypotheses in study B are 1) the state of cell-mediated immunity against herpes
18 zoster can be evaluated by VZV skin test,³⁰⁻³² and 2) the higher degree of VZV skin test,
19 the lower the risk and severity of herpes zoster and postherpetic neuralgia.²⁹ The

20 hypotheses in study C are 1) the cell-mediated and humoral immunity levels decline with
21 age,³² and 2) without boosting effect by exposure to varicella-zoster virus, for example an
22 epidemic of varicella, the cell-mediated and humoral immunity levels gradually decline.¹⁶

23

1 **Interview for the past history**

2 The interview was conducted to inquire a past history of herpes zoster at registration by
3 research physicians. The question items are whether they have contracted herpes zoster
4 before, time of its occurrence, and whether they saw a doctor. The responses were
5 obtained from all 12,522 final registrants (100%).

6 For studies B and C, to increase the reliability of the past history, research physicians
7 asked the symptoms and drugs administered, and judged whether the past event in
8 question was herpes zoster.

9
10 **Self-administered health questionnaires**

11 The self-administered questionnaire survey was carried out to evaluate factors including
12 diet, stress and overwork at registration, and, if there was inadequacy of entries,
13 secretariat members checked them by asking the subjects.

14 The question items are self-rated health, smoking, exercise, walking time, sleep, degree
15 of satisfaction with sleep, stress, diet (frequencies of fruits, vegetables, fish, meat, eggs,
16 miso soup, soybeans, and milk intakes), drinking, personality, frequency of laughing,
17 purpose of life, opportunities of conversation, spiritual support, life events, hobbies and
18 interests, hopes, underlying diseases, familial history, height, and body weight. The valid
19 answers were obtained from 12,360 (98.7%) of the 12,522 final registrants.

20
21 **Telephone surveys**

22 Telephone surveys are commissioned to a contract organization (BellSystem24 Inc.),
23 which performed them according to an established talk script at frequency of once every

1 4 weeks during the study. All registrants are asked whether they had developed
2 symptoms suggestive of herpes zoster. One registrant of each family answered the
3 surveys, representing all registrants in the family.

4 The questions concerned the presence or absence of rash, pain, history of contact with
5 a varicella patient, and admission to clinic or hospital. If a registrant reported both rash
6 and pain, this information is automatically transmitted to the secretariat, and the survey
7 on the onset is initiated.

8 9 **VZV skin test**

10 We used Varicella antigen “Biken” (The Research Foundation for Microbial Diseases of
11 Osaka University) to evaluate the sensitivity or the state of **cell-mediated immunity**. The
12 test is performed by the intradermal inoculation of varicella antigen “Biken” at 0.1
13 mL/injection and the examination of the state at inoculation site after 48 hours. VZV skin
14 test was performed at registration in 5,685 registrants enrolled in Study B.

15 16 **Blood tests**

17 Blood tests were performed in **the** registrants enrolled in Study C. Cell-mediated
18 (ELISPOT) and humoral (neutralizing antibody, gp-ELISA and IAHA) immunity was
19 examined at the baseline and after 1, 2, and 3 years.

20 21 **Surveys at the onset and recovery**

22 A survey at the onset is initiated if a cooperating physician makes the diagnosis of
23 “herpes zoster” or “possible herpes zoster.”

1 The survey at the onset consists of five items: 1) evaluation of clinical symptoms, 2)
2 measurement of cell-mediated (ELISPOT) and humoral (neutralizing antibody, gp-
3 ELISA and IAHA) immunity using venous blood sampling, 3) virus identification tests
4 by PCR and virus isolation from crust sampling, 4) evaluation of pain, and 5)
5 photography of the skin areas with rash.

6 The survey during recovery consists of two items: 1) evaluation of sequelae and 2)
7 measurement of cell-mediated (ELISPOT) and humoral (neutralizing antibody, gp-
8 ELISA and IAHA) immunity using venous blood sampling.

9 Clinical symptoms are evaluated the severity of symptoms and of treatment by a
10 physician using a survey form. The evaluation items are the presence or absence of
11 underlying diseases, the use of an immunosuppressant or antineoplastic agent, date of
12 rash appearance, distribution of rash, properties of rash (the presence or absence of
13 erythema; numbers of vesicles, pustules, and erosions; and the presence or absence of
14 ulceration, fusion, and bloody vesicles), date of pain appearance, other specific symptoms
15 (fever, headache, generalized herpes zoster, multidermatomal herpes zoster, eye
16 complications, motor paralysis, Ramsay Hunt syndrome and others), and treatment.

17 The evaluation of onset and postherpetic pain is carried out by secretariat members
18 using a modified the Zoster Brief Pain Inventory survey form³³). The question items were
19 the presence or absence of stress and pain, distribution of pain, severity of pain according
20 to a face scale from 0 (no pain) to 5 (sleep disturbing pain), changes in the tactile
21 sensation in painful areas, treatment for pain or medication, and the Quality of Life
22 (activities of daily living, psychology, work and housework, social events, sleep and
23 hobbies).

1 The questionnaires are planned to conduct at days 0, 1, 2, 3, 4, 5, 6, 13, 20, 27, 34, 41,
2 48, 55, 85, 115, 145, 175 after the initial examination. The questionnaires are ended with
3 the disappearance of pain but are continued for at least 7 days. Also, the presence or
4 absence of mental stress is evaluated at the initial examination alone, and the treatment or
5 medication for pain is evaluated at the initial, weekly and monthly examinations.

6 The survey during recovery is carried out by a physician using a survey form
7 concerning the presence or absence of sequelae (postherpetic neuralgia, motor paralysis,
8 scars and others).

10 **Definite diagnosis of herpes zoster**

11 All subjects with initial clinical diagnosis of “herpes zoster” or “possible herpes zoster”
12 were examined by PCR analysis for VZV, HSV and beta-globin DNA in fluid from the
13 vesicles, and were studied by serological analysis for anti-VZV antibodies using paired
14 serum, and had clinical photographs taken. The final diagnosis was determined by
15 comprehensive evaluation of clinical symptoms, results of PCR and serological tests,
16 under the responsibility of clinical evaluation committee, consisting of three
17 dermatologists with expertise in herpes zoster, Nara Medical University School of
18 Medicine.

19 If the PCR assay revealed VZV DNA, the final diagnosis was herpes zoster; if the
20 assay was positive for beta-globin or HSV DNA and negative for VZV DNA, the final
21 diagnosis was not herpes zoster. If the specimen obtained for PCR assay was inadequate
22 (i.e., was negative for both viral and beta-globin DNA) or was missing, the final
23 diagnosis was determined on the basis of serological test and clinical symptoms by the

1 clinical evaluation committee. Registrants with a final diagnosis of herpes zoster are
2 regarded as definitively-diagnosed patients.

3

4 **Dropouts**

5 Registrants are regarded as having dropped out when the continuation of survey is judged
6 to be impossible due to their death, impaired cognitive function, move-out of surveyed
7 areas, when registrants have announced withdrawal from the study, or when no response
8 has been obtained on 3 or more telephone survey. Death of registrants is confirmed by
9 cooperation of the municipal administration according to their names and dates of birth.

10

11 **Sample size calculation**

12 Of the target population of 19,138 (as of June 1, 2007), a total of 12,000 or more
13 ($\geq 62.7\%$) are aimed to be registered for study A (Table 1). The incidence of herpes zoster
14 is calculated separately for each gender and age category (50-59, 60-69 and ≥ 70). In
15 previous studies in Japan and abroad, the annual incidence of herpes zoster has been
16 reported to be 0.50-0.60% for persons aged 50-59 years, 0.60-1.0% for those aged 60-69
17 years, and 0.90% for those aged ≥ 70 years without gender difference.^{4, 5, 9}

18 When the expected numbers of patients during the 3-year study period are calculated
19 by multiplying the median value of incidence in each age category (0.55% for persons
20 aged 50-59 years, 0.80% for those aged 60-69 years, and 0.90% for persons aged ≥ 70
21 years) by the census populations of the respective age category in Shozu County (Table
22 1), 48 men and 47 women aged 50-59 years, 53 men and 59 women aged 60-69 years,
23 and 90 men and 146 women aged ≥ 70 years are expected to develop herpes zoster.

1 Since approximately 30 or more patients to develop herpes zoster during the 3-year
2 survey period **by gender and age category** are necessary to calculate gender and age-
3 specific incidence with sufficient reliability, the participation of 63% of total population
4 of Shozu County is necessary. The population of Shozu County aged ≥ 50 years is 19,138,
5 and thus approximately 12,000 is the target number of registrants. Under these
6 conditions, a difference in the incidence during the 3-year survey period between men
7 aged 50-59 years ($n=2,891$) and those aged ≥ 70 years ($n=3,323$) can be detected at a
8 significance level of 5% and a statistical power of 80%.

9 **To examine** the relationship between **VZV skin test** and risk of herpes zoster **for study**
10 **B**, the **skin test result** is classified into tertiles (33 percentiles), and the 3-year incidence in
11 the **high-reaction** group (upper 33 percentiles) is assumed to be 1.2% (annual incidence:
12 0.4%). When the risk of herpes zoster in 1,600 (to maximum 2,500) registrants of the
13 **high-reaction** group relative to that in 1,600 (to maximum 2,500) registrants of the low-
14 **reaction** group (lower 33 percentiles) is calculated, the association between **the VZV skin**
15 **test result** and risk of herpes zoster can be detected if the relative risk is **2.1 or greater**
16 **(under 1,600 registrants for each tertile)** and **1.9 or greater (under 2,500 registrants for**
17 **each tertile)** at a significance level of 5%, analytical power of 80%, and follow-up rate of
18 90%. **Thus, we aimed to obtain 5,000 to 7,500 participants for study B (Table 1).**

19 For evaluating the duration of cell-mediated and humoral immunity **in study C**, the
20 state of immunity is classified into tertiles (33 percentiles), and analysis is performed
21 separately for genders. To secure 30 or more registrants in each **tertile group for each**
22 **gender**, the target number of enrollment is 200 to 300.

23

1 **Ethical issues**

2 Informed consent for the study was obtained from study B and C registrants, and for
3 study A registrants, the return of questionnaires was regard as consent to participate in the
4 study.

5 The present study was approved by the Ethics Committee of the Research Foundation
6 for Microbial Diseases of Osaka University, Osaka University Graduate School of
7 Medicine, National Institute of Biomedical Innovation, and Nara Medical University
8 School of Medicine.

9
10 **Results**

11 The target census population are 19,058 individuals (8,424 men and 10,634 women in
12 total), consisting of 5,362 (2,710 and 2,652) aged 50-59 years, 4,918 (2,383 and 2,535)
13 aged 60-69 years, 4,897 (2,064 and 2,833) aged 70-79 years, and 3,881 (1,267 and 2,614)
14 aged ≥ 80 years.

15 Table 3 shows the number of registrants and their age distribution, and past history of
16 herpes zoster. We successfully recruited 12,522 registrants (72.3% of all residents) for
17 study A, 5,685 registrants for study B and 365 registrants for study C. Compared with the
18 census population, the registrants for study A showed a similar mean and distribution of
19 age, but those for study B had a slightly lower mean ($P < 0.001$), higher percentages of
20 ages 50-59 years and 60-69 years, and lower percentage of ages ≥ 80 years (P for
21 distribution difference < 0.001). In study A, the prevalence of the self-reported past
22 history of herpes zoster were 12.7% for men and 20.1% for women, indicating the higher

1 past history in women than in men ($P<0.001$). When stratified by age group, a similar
2 gender difference was found in each age group (Table 4).

3

4 Discussion

5 We recruited successfully a total of 12,522 registrants with 72.3% participation rate of the
6 target population aged ≥ 50 years in the Shozu County. To ensure a high follow-up and
7 complete ascertainment of the occurrences of herpes zoster, a systematic telephone
8 survey is undertaken. The residents are informed of the study by notices put up on
9 bulletin boards and PR brochures every 3 months to enhance the residents' interest, and
10 knowledge about herpes zoster, and to stimulate their early consultation to medical
11 facilities. The early consultation is expected to contribute to the early administration of
12 antiviral agents, leading to reduction of severe herpes zoster and postherpetic neuralgia.

13 In addition, the increased knowledge about herpes zoster in the residents of the survey
14 community is considered to promote residents with mild herpes zoster, to see a physician
15 in local hospital or clinic, which also contribute to the determination of the accurate
16 incidence.

17 The occurrence of herpes zoster has been reported to be affected by epidemics of
18 varicella.^{13,16} Since epidemics of varicella have been related to the status of vaccination,
19 the varicella epidemics and vaccination status are monitored in the survey community
20 through Infectious Diseases Weekly Report Kagawa, annual sales report of BIKEN's
21 varicella vaccine, and population census.

22 In Shozu County, the numbers of the varicella symptoms observed varied between
23 2001 and 2010 in which the average numbers reported from two pediatrics sentinel

1 clinics in the area during the above 10 years was 113.5 people (minimum 22 up to
2 maximum 266) , with an epidemic of ≥ 150 people cases in 2002, 2004 and 2010
3 according to *Infectious Diseases Weekly Report Kagawa*. The proportion of vaccination
4 against varicella was 51.4% (amount of vaccine sold in 2008, divided by the number of
5 childbirths in 2007). This proportion was 9.8% higher than that in Japan national average
6 according to annual sales report of BIKEN's varicella vaccine and population census.
7 Therefore, it is necessary to investigate the vaccination status and outbreaks continuously,
8 and to verify its relationship with the incidence of herpes zoster.

9 The present study will provide the evidence on the incidence and predictive and
10 immunological factors for herpes zoster in a defined community-based population
11 Japanese.

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