



Modeling how antibody responses may determine the efficacy of COVID-19 vaccines

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Predicting the efficacy of COVID-19 vaccines would aid vaccine development and usage strategies, which is of importance given their limited supplies. Here we develop a multiscale mathematical model that proposes mechanistic links between COVID-19 vaccine efficacies and the neutralizing antibody (NAb) responses they elicit. We hypothesized that the collection of all NABs would constitute a shape space and that responses of individuals are random samples from this space. We constructed the shape space by analyzing reported in vitro dose-response curves of ~80 NABs. Sampling NAB subsets from the space, we recapitulated the responses of convalescent patients. We assumed that vaccination would elicit similar NAB responses. We developed a model of within-host SARS-CoV-2 dynamics, applied it to virtual patient populations and, invoking the NAB responses above, predicted vaccine efficacies. Our predictions quantitatively captured the efficacies from clinical trials. Our study thus suggests plausible mechanistic underpinnings of COVID-19 vaccines and generates testable hypotheses for establishing them.

The coronavirus disease 2019 (COVID-19) pandemic has triggered the fastest vaccine development efforts so far, as well as urgent global vaccination rollouts. Yet, limited vaccine supplies are hindering our ability to fight the pandemic^{1,2}. Enormous efforts are ongoing to develop new vaccines. As of 14 October 2021, there were 332 vaccine candidates under development, of which 113 were in clinical testing³. The ability to predict vaccine efficacies may expedite vaccine development by helping to shortlist promising candidates and/or minimize the subsequent reliance on expensive and time-consuming clinical trials for assessing their efficacies⁴. Simultaneously, it may help identify optimal vaccination strategies^{5,6}. For example, although several approved vaccines are administered in two doses separated by a few weeks, it would be useful to know the protection conferred by a single dose, by lower dosages or by doses separated by longer intervals, especially in less vulnerable populations, so as to ease demand^{7–9}.

Approved COVID-19 vaccines have shown remarkable but varying efficacies in clinical trials, reducing the incidence of ‘symptomatic’ infections with the wild-type severe acute respiratory syndrome coronavirus 2 (SARS-CoV-2) strain by 62–96% (refs. ^{7,10–16}). The protection has been argued to be due to neutralizing antibodies (NABs) elicited by the vaccines. Cellular immunity appears to play a less important role, especially after the recommended doses of the vaccine are administered^{10,11,17–22}. The protection due to NABs is consistent with independent observations, in which higher levels of pre-existing NABs were correlated with protection and lower risk of infection, respectively, in an early outbreak in a fishery vessel²³ and in a longitudinal study of healthcare workers²⁴. Protection from seasonal coronaviruses too has been associated with pre-existing NABs²⁵. Strong statistical correlations have been identified between COVID-19 vaccine efficacies and the NAB responses they elicit^{17,18}. An important question that arises is how the NAB responses confer the protection observed. An understanding of the dependence of the level of protection on the NAB titers and their neutralization efficiencies is lacking.

In this Article, we develop a theoretical framework that describes and integrates several key phenomena associated with SARS-CoV-2

infection and vaccination, across length and time scales spanning the range from the workings of individual NABs to the responses of clinical cohorts to vaccination. The framework employs testable, mechanistic hypotheses and quantitatively predicts the population-level protection conferred by vaccines as a function of the NAB titers they elicit.

Results

Construction of the SARS-CoV-2 NAB landscape. A major challenge to describing the effects of vaccination is the diversity of the NAB responses elicited. The NAB response to primary SARS-CoV-2 infection in unvaccinated individuals is diverse, spanning >1,000-fold variation in Ab titers and in vitro neutralization efficiencies across individuals^{26,27}. NAB titers following vaccination have been found to be comparable to those from convalescent patients^{10,11,28}. No formalism exists to predict this diversity or its effects on protection. We addressed this challenge by adapting the classic idea of ‘shape space’, which has aided quantification of the immune repertoire²⁹, for characterizing NABs. Accordingly, we sought features (also termed shape parameters) of the NABs that would predict their neutralization efficiencies. Numerous studies have isolated individual NABs from patients and assessed their neutralization efficiencies in vitro. We compiled dose-response curves (DRCs) of ~80 NABs^{26,27,30–44} thus isolated and fit them using the median-effect equation⁴⁵ (Methods, Supplementary Fig. 1 and Supplementary Data 1). The equation fit the data well (Fig. 1a and Supplementary Fig. 2), indicating that two parameters, the 50% inhibitory concentration (IC_{50}) and the slope (m) of the DRC, were sufficient to characterize the neutralization efficiency of individual NABs (Fig. 1a and Supplementary Data 1). The best-fit IC_{50} and m varied widely across NABs (Fig. 1b). IC_{50} values ranged from $\sim 10^{-3}$ to $\sim 140 \mu\text{g ml}^{-1}$ (Fig. 1b), in close agreement with reported estimates (Supplementary Fig. 3a and Supplementary Data 1). The values of m , the importance of which has been recognized with HIV-1 and hepatitis C^{45,46} but has not typically been reported for SARS-CoV-2, ranged from ~ 0.2 to 2 (Fig. 1c). This variability in IC_{50} and m was not restricted to a particular pseudotyped virus construct or backbone (Supplementary Fig. 3b,c),

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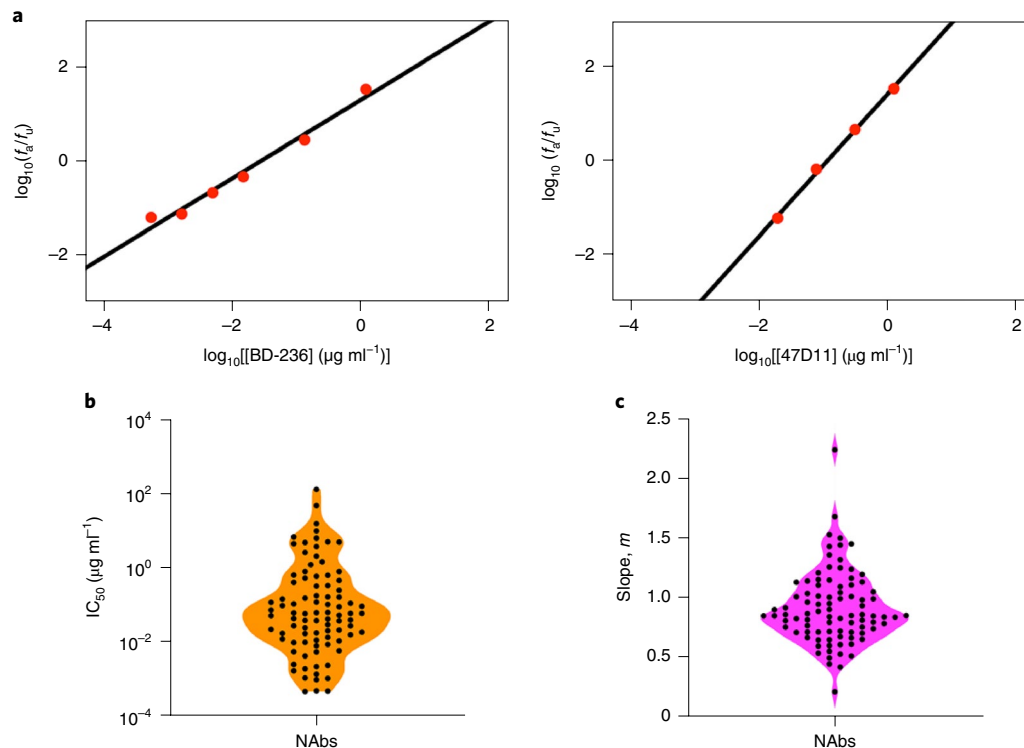


Fig. 1 | Analysis of the dose–response curves of SARS-CoV-2 NABs. a, Fits (lines) of the median-effect equation to published experimental data (circles) of the fraction of infection events blocked (f_b) as a function of NAb concentration, shown for two NABs, BD-236 (left) and 47D11 (right). Experimental data points with $1\% < f_b < 99\%$ (circles) were considered for parameter estimation. Fits for the remaining NABs are provided in Supplementary Fig. 2. f_u and f_b are the fraction of infection events that are unaffected and affected respectively, by the NABs in a single round of infection. **b,c**, The best-fit estimates of IC_{50} (**b**) and m (**c**) for all the NABs analyzed (Supplementary Data 1).

cell line (Supplementary Fig. 3d,e) or assay conditions, which could vary across studies (Supplementary Fig. 3f,g). The variability was thus not attributable to these potential confounding factors and appeared to be intrinsic to the NABs, indicating the spectrum of NABs elicited. Furthermore, akin to HIV-1 antibodies⁴⁵, the variations in IC_{50} and m appeared independent. For example, the NABs BD-361 and REGN10954 had similar IC_{50} values (both $\sim 0.04 \mu\text{g ml}^{-1}$) but vastly different m (~ 0.7 and ~ 1.5 , respectively), whereas the NABs CCI2.3 and 515-5 had different IC_{50} values ($\sim 0.02 \mu\text{g ml}^{-1}$ and $1.6 \mu\text{g ml}^{-1}$, respectively) but similar m (both ~ 1). IC_{50} and m were thus not only sufficient but also necessary for quantifying the neutralization efficiencies of NABs. We therefore employed IC_{50} and m as the shape parameters. Plotting the NABs on an IC_{50} – m plot, we identified the NAB shape space (Fig. 2), which, because of its two-dimensional nature, we termed the ‘landscape of SARS-CoV-2 NABs’.

The landscape contains potent NABs, with low IC_{50} and high m , as well as weak NABs, with the opposite traits. To compare the NABs, we employed the instantaneous inhibitory potential (IIP), a composite metric of IC_{50} and m (refs. 45–47). IIP_D represents the \log_{10} decline in viral load in a single round infection assay due to the NAB present at concentration D . Thus, the higher the IIP_D , the more potent is the NAB at that concentration. NABs displayed a wide distribution of IIP_{100} values: six NABs had the highest IIP_{100} values, >5 , and seven had the least, ≤ 1 ($D = 100 \mu\text{g ml}^{-1}$) (Fig. 2b and Supplementary Data 1). This distribution demonstrated further the wide spectrum of neutralization efficiencies of NABs. Using another NAB concentration did not affect this distribution substantially (Supplementary Fig. 4).

Prediction of the NAB responses of convalescent patients. The landscape established bounds on the neutralization efficiencies of

the NABs elicited. We reasoned next that the diversity of the NAB responses across individuals would arise from the way NABs are sampled from the landscape. Although a large number of NABs can be isolated from individuals, studies of convalescent patient plasma^{26,27,48–50} as well as on NAB epitope profiling⁵¹ have argued that the NAB response of an individual can be attributed to a small subset of five to ten distinct NABs. Furthermore, although some epitopes on the SARS-CoV-2 spike protein, S, are targeted more than others by NABs, the collection of NABs produced differs substantially across individuals⁵². We therefore assumed that the response elicited by an infected individual would be a small, random subset of the landscape. We analyzed DRCs of NABs isolated from individual patients and found that they indeed constituted such subsets (Supplementary Fig. 5). Accordingly, we sampled random combinations of ten NABs each, each combination representing the response of an individual. Our results were robust to an increase in the number of NABs sampled beyond ten (Supplementary Fig. 6). We let NAB concentrations vary across individuals, to mimic the observed variation of the NAB titers^{48–50}. We quantified the neutralization efficiency of the NAB response by simulating standard plasma dilution assays (Methods and Fig. 3a). Experimental plasma dilution assay results follow an inverse sigmoidal pattern and are characterized by NT_{50} , the dilution at which the neutralization efficiency of the plasma decreases by 50% (Fig. 3b). In our simulations, we let the NABs exhibit Bliss independence or Loewe additivity, the former representing NABs targeting distinct, non-occluding epitopes and the latter the same or occluding epitopes⁵³. Our simulations recapitulated the dilution curves associated with patient plasma (Fig. 3b). Furthermore, the values of NT_{50} we predicted were in close agreement with experimental observations⁴⁹ (Fig. 3c). (Note that immunoglobulin-G (IgG) targeting the receptor binding domain of the

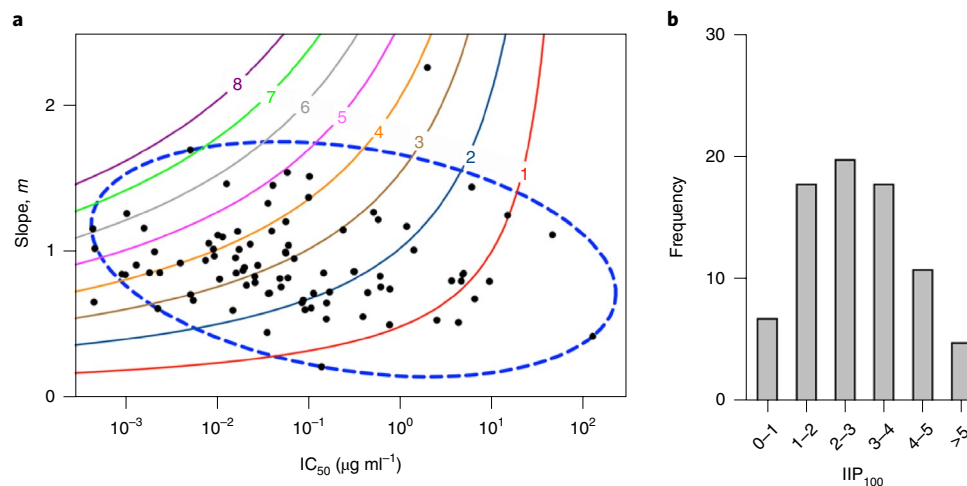


Fig. 2 | The landscape of SARS-CoV-2 NABs. **a**, The SARS-CoV-2 NABs analyzed in Fig. 1, depicted on an IC_{50} - m plot. Each dot represents a NAB. Nine NABs that have multiple neutralization curves reported are represented multiple times (Supplementary Data 1). Solid lines are loci of points corresponding to fixed IIP values computed at $100 \mu\text{g ml}^{-1}$. The ellipse (blue dashed line) circumscribes the landscape of SARS-CoV-2 NABs elicited. **b**, The distribution of IIP₁₀₀ values of the NABs. Average IIP₁₀₀ values are used for the nine NABs for which multiple curves are reported.

SARS-CoV-2 spike protein, reported in the experiments in Fig. 3c, do not represent all NABs. They are, however, a major component of the NABs. The dilution assays in Fig. 3b do include all NABs, indicating that our predictions capture the measured NT_{50} values reliably.) The latter data were described better by Bliss independence at low NAB titers and Loewe additivity at high titers. This is expected, because, at low titers, the NABs are unlikely to interact with each other and would thus follow Bliss independence, whereas at high titers, they may compete for binding sites on S or occlude each other and exhibit Loewe additivity⁵³. At any NAB titer, there existed substantial variation in NT_{50} , attributed to the random combinations of NABs sampled. The variation, however, was outweighed by the overall rise of NT_{50} with the NAB titer, consistent with patient data (Fig. 3c). For example, the geometric mean NT_{50} computed using Loewe additivity was 7.2 at an IgG titer of $0.1 \mu\text{g ml}^{-1}$ and 455.1 at $10 \mu\text{g ml}^{-1}$. Sampling from the NAB landscape thus successfully recapitulated patient responses. Note that no adjustable parameters were involved in this comparison. We were thus able to describe the diversity of the NAB responses elicited across patients. Armed with this description, we examined next the protection accorded by vaccines in clinical trials.

Prediction of COVID-19 vaccine efficacies. Following vaccination, NAB titers rise and are expected to remain stable (or decay slowly) over weeks to months⁵⁴, protecting individuals exposed to the virus during this period. Individuals were assumed to be protected if they did not report symptomatic infection. Loss of protection involved symptoms and a positive result on a nucleic acid amplification test^{10,11}. Protection with NABs is not expected to be sterilizing, as suggested by animal studies^{21,55}; NABs help suppress virus load and facilitate more rapid clearance of the infection. We assumed that the severity of the symptoms would be proportional to the virus load. If the peak is sufficiently suppressed, no symptoms may result, as is the case with naturally asymptomatic infections⁵⁶. Here we assumed that an individual would be detected as symptomatically infected if the viral load rose above a threshold.

To estimate the peak viral load, we developed a mathematical model (Fig. 4a) of the early time course of the infection, where the viral load typically rises, attains a peak and declines⁵⁷. To ascertain its ability to describe these dynamics in vivo, we fit the model to longitudinal viral load data from individual patients from three cohorts^{57–59}. The model fit the data well (Fig. 4b and Supplementary

Figs. 7 and 8) and yielded parameter estimates quantifying inter-patient variability in the within-host dynamics (Supplementary Tables 2 and 3). We applied the model to describe the effect of vaccination (Methods). We assumed that NABs generated following vaccination would exist at the start of infection. Although NABs may perform many functions, including stimulating the cellular adaptive response^{56,60}, direct evidence of these functions in SARS-CoV-2-infected humans is yet to be gathered⁵⁶. (The vaccines may stimulate other immune arms independently of the NABs, which, as we argue above, is expected to make limited contributions to vaccine efficacy against the wild-type SARS-CoV-2 strain^{10,11,17,18}.) We therefore focused on their ability to neutralize free viruses, effectively reducing viral infectivity. We recall that protection due to NABs is not expected to be sterilizing^{21,55}. The reduced infectivity is also consistent with in vitro pseudovirus neutralization assays, which measure the drop in infectivity with increasing NAB concentrations. Our model captures these in vitro assays quantitatively (Fig. 3). The greater the reduction in infectivity, the lower the peak viral load in vivo (Fig. 4c, curves with efficacy $\epsilon > 0$). This assumption of the activity of NABs is thus also consistent with the inverse correlation between the peak viral load and NAB titers elicited by vaccination in mouse models²¹ and in macaques⁶¹.

Substantial de novo NAB production post-infection typically occurs after the peak in virus load⁵⁶ and has been argued to have limited impact on viral clearance⁶². We therefore considered pre-existing NABs as responsible for protection and assumed their titers not to vary substantially during the course of the infection, given the typically short course of the infection and the much longer durability of the NAB response to vaccination⁵⁴. We let the pre-existing NABs be drawn as random subsets from the landscape, as we did above. We assumed that the NABs neutralized free viruses with an efficiency that we estimated using Loewe additivity. NAB titers in the lung airways are expected to be similar to those in the blood given the close coupling between the lungs and the circulatory system⁵⁶. The efficiency of NABs in vivo can differ from that in vitro⁶³, which we took into account. We simulated a virtual patient population of 3,500 individuals, similar to the number of individuals infected in the placebo arms of clinical trials. The individuals all had distinct viral dynamics parameters drawn from previously known and/or estimated ranges (Supplementary Tables 1 and 2), to mimic inter-patient variability in addition to the variability arising from NAB sampling from the landscape. Our model predicted wide variability

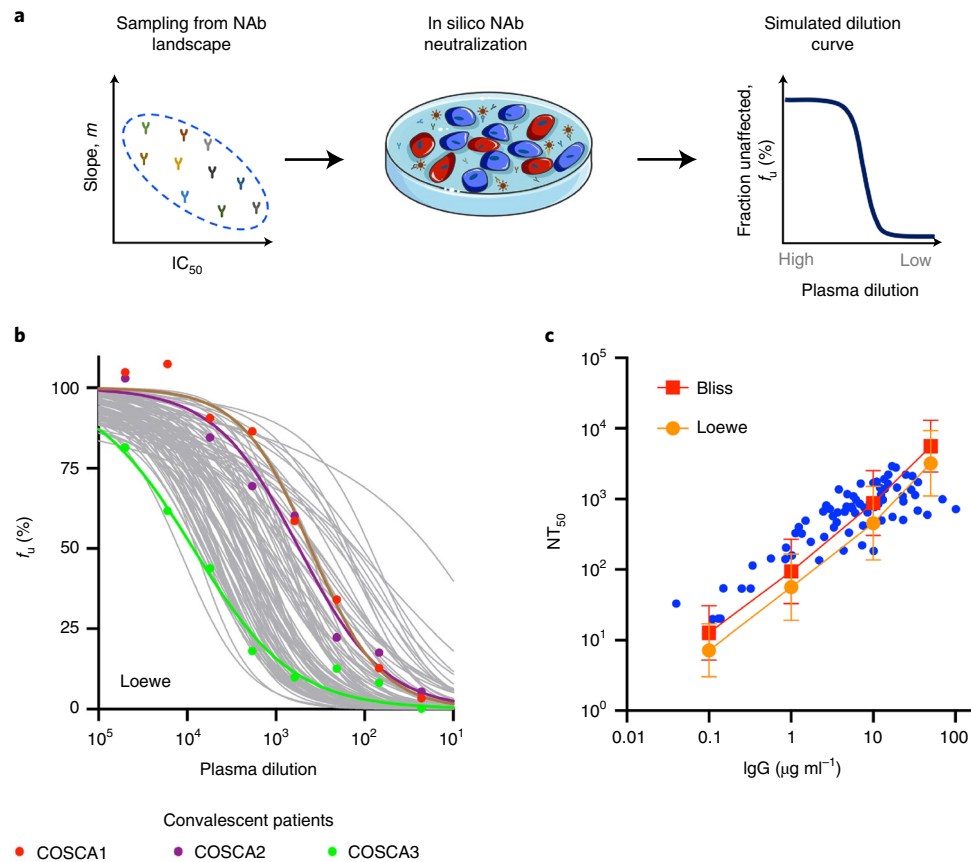


Fig. 3 | NAb landscape and patient responses. **a**, Schematic of the procedure to predict plasma dilution curves. **b**, Predictions (gray lines) of plasma dilution curves. Each line represents a patient. We assumed ten NABs per patient and $D_0 = 30 \mu\text{g ml}^{-1}$. Also shown are plasma dilution assays from three patients⁹². Patient IDs are indicated alongside the symbols used. The measurements (colored symbols) followed $f_u = \frac{(\gamma)^n}{(\gamma)^n + (NT_{50})^n}$ (lines), where n is the Hill coefficient, γ is the plasma dilution and NT_{50} is the half-maximal inhibitory plasma neutralizing titer. **c**, Half-maximal inhibitory plasma neutralizing titers, NT_{50} , as a function of total NAB concentration. Blue circles are reported estimates of IgG levels targeting the SARS-CoV-2 S receptor binding domain in convalescent patients. Red squares and orange circles are the geometric means of NT_{50} values predicted from 100 virtual patients at each NAB concentration using Bliss independence and Loewe additivity, respectively. The error bars are geometric standard deviations.

in the peak viral load (Fig. 4d). At low pre-existing NAB concentrations ($0.01 \mu\text{g ml}^{-1}$), indicative of the scenario without vaccination, the predicted peak viral load ranged from $\sim 10^3$ to 10^9 copies per milliliter, consistent with the range in symptomatic individuals⁶⁴. The peaks declined as NAB titers increased. Following clinical trials, we set the limit of detection to $\sim 10^2$ copies per milliliter (ref. ⁶⁵). (Note that, even if symptoms were to arise with lower viral loads in some individuals, such individuals would not be diagnosed as infected because of assay limitations.) The fraction of individuals with peaks below detection would indicate the level of protection due to the vaccine.

To quantify the mean level of protection and test it against data from clinical trials, we used viral dynamics parameters representative of detectable infections^{66,67} (Supplementary Tables 1 and 2) and simulated the dynamics in a cohort of 10,000 infected individuals. Vaccination studies report the NT_{50} values of the NAB responses elicited and the associated mean protection level, or efficacy^{7,10,12,68–70} (Supplementary Table 4). We binned individuals into narrow NT_{50} bands and calculated the mean protection and 95% confidence interval (CI) in each band. We found that the mean protection was low for an NT_{50} of ~ 1 . It increased in a sigmoidal manner to 50% at an NT_{50} of ~ 15 and asymptotically reached 100% at an NT_{50} of ~ 200 (Supplementary Fig. 9).

To compare these predictions with clinical data across trials, we normalized the data using the NT_{50} values from convalescent

patients reported by the respective trials (Supplementary Table 4). This ensured that assay variations across studies did not confound our comparisons. We accordingly also normalized our predictions of NT_{50} with those corresponding to convalescent patients captured by our model (Methods, Fig. 3 and Supplementary Fig. 10). For the set of parameters employed, the data for all the eight approved vaccines we considered fell on this ‘protection curve’ (Fig. 5). Thus, for example, a single dose of the vaccine Ad26.COV2.S elicited NABs with a scaled NT_{50} of 0.43 and accorded 66.1% protection. Following two doses of the vaccine BNT162b2, the corresponding values were 3.84% and 94%, respectively. These values were captured accurately by our model predictions. This agreement extended to data from phase III trials of the other vaccines we considered as well (Fig. 5).

We tested the robustness of these predictions to model parameter variations. Using local (Supplementary Fig. 11a) and global sensitivity analysis (Supplementary Fig. 11b), we found that our predictions of vaccine efficacy were robust to parameter variations so long as the parameter values were consistent with patient data (Supplementary Fig. 11c–e). One parameter not involved in the patient data fitting was ω , the assumed ratio of the IC_{50} values of the NABs in vivo and in vitro, because NAB responses, given their limited role, were not part of our model of unvaccinated individuals⁶². The protection curve was sensitive to ω (Supplementary Fig. 11f). Recent studies^{71,72} have estimated ω for a few NABs of SARS-CoV-2 and found it to be in the range ~ 5 – 40 (Supplementary Table 1), similar

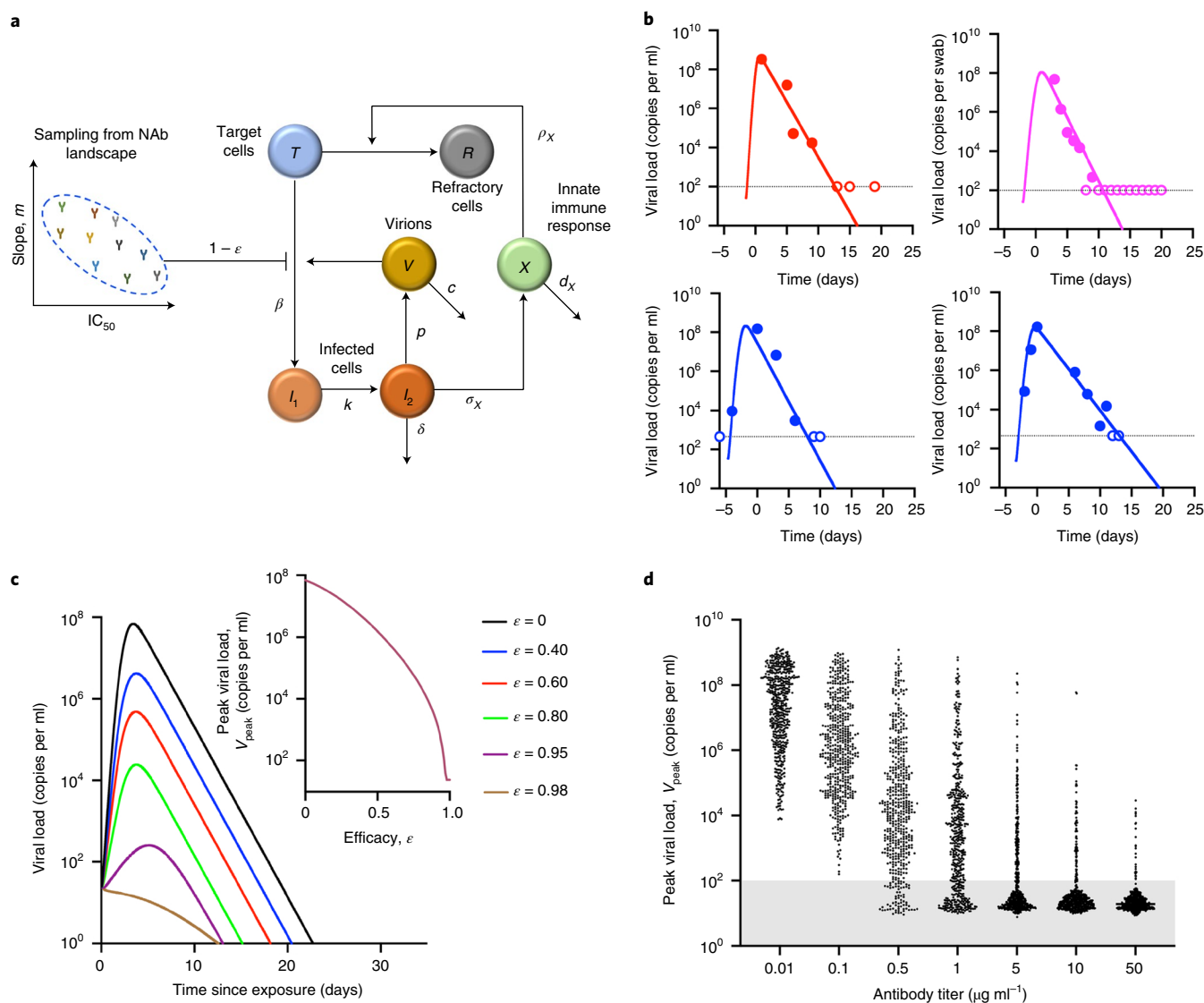


Fig. 4 | Modeling SARS-CoV-2 dynamics and the effect of vaccination. **a**, Schematic of the model of within-host SARS-CoV-2 dynamics depicting the interactions between target cells T , infected cells I_1 and I_2 , refractory cells R , virions V , innate immune response X and pre-existing NABs, sampled from the landscape. **b**, Representative fits of model predictions of viral load observed in non-vaccinated French⁵⁸ (red), US⁵⁹ (blue) and German⁵⁷ (magenta) cohorts. Fits to data from all the patients studied are shown in Supplementary Fig. 7. The grey horizontal lines indicate the limit of detection. **c**, Predictions of viral load in non-vaccinated (black line) and vaccinated (colored lines) individuals with different fixed efficacies of the NABs indicated. Inset: predicted peak viral load at different efficacies. **d**, Predictions of peak viral load at different NAB titers. Each dot represents a patient. The grey region contains peak viral loads below the detection limit.

to estimates for other viruses^{63,73}. In the above predictions we set ω to ~ 10 , which lies in the above range and yielded the protection curve that captured clinical data. Future studies may provide independent estimates of the model parameters, limiting these uncertainties and sharpening the mechanistic links between COVID-19 vaccine efficacies and NAB responses assumed in our formalism.

Discussion

Our formalism for predicting COVID-19 vaccine efficacies as a function of the NAB responses they elicit required the description and integration of several key phenomena, varying over many length and time scales. These include (1) the neutralization potential of individual NABs, (2) the diversity of the NAB response within and across individuals, (3) the relationship between NAB titers in individuals and their neutralization potential, (4) the within-host dynamics of disease progression, (5) the influence of vaccination on

the within-host dynamics and (6) the variability of the latter influence across a patient population in clinical trials. At each step, we established quantitative connects with experimental data, rendering our approach rigorous.

Identifying correlates of the protection offered by COVID-19 vaccines has been challenging⁷⁴. Several recent studies have pointed to NAB responses as strong correlates of vaccine-mediated protection^{17–20}. Our study independently arrived at the correlation between vaccine efficacy and NT_{50} and generated testable hypotheses of its mechanistic origins. Briefly, our study assumed that, in response to vaccination, different individuals in a population produce NABs that are well represented by random samples from the NAB landscape. The neutralization potential of the NABs elicited, quantified by NT_{50} , accordingly varies across individuals in a dose-dependent manner. The presence of the NABs, in our model, caused a reduction in the peak viral load following infection, also in a dose-dependent

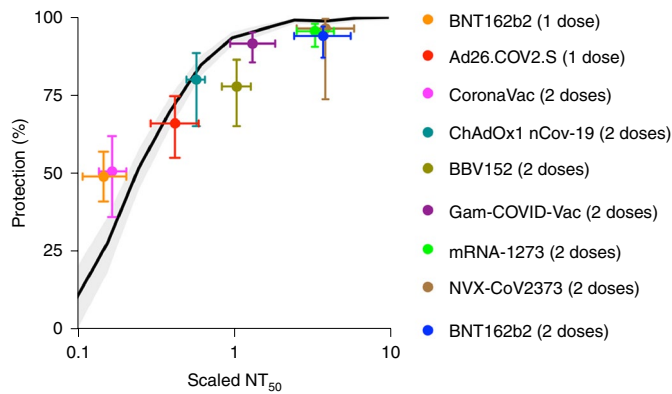


Fig. 5 | Protection post vaccination. Model predictions of the relationship between vaccine efficacy and NT_{50} (solid line) compared with data from vaccination trials (symbols). The number of doses of the vaccine administered is indicated in parentheses. The error bars and the shaded region represent the 95% confidence intervals. The data from the trials used are summarized in Supplementary Table 5. The model equations and simulation procedure are described in Methods.

manner. A sufficient reduction in the peak viral load was assumed to prevent symptoms and manifest as protection conferred by vaccination, potentially giving rise to the correlation of vaccine efficacy with NT_{50} . Thus, our study suggests a plausible mechanism that can be tested experimentally for how multiple NAb generated within an individual following vaccination provide protection by being members of a shape space. Our model proposes a mechanism to reduce the net neutralization effect of these antibodies into a single metric. Further, our formalism deduced a relationship between NT_{50} and the concentration of NAb in plasma, so that the latter may also be used to estimate vaccine efficacies.

Our formalism employs several assumptions and hypotheses underlying the protection conferred by NAb elicited by vaccination. First, NAb are assumed to be generated randomly from the NAb landscape. Although this appears plausible (Supplementary Fig. 5), it remains to be established. Furthermore, that the NAb landscape in convalescent patients and following vaccination is similar needs to be ascertained. Second, assay variations in the estimates of NAb characteristics (IC_{50} and m) are assumed not significant. To verify this, estimates of IC_{50} and m could be standardized across studies, for example, by normalizing them using the IC_{50} and m values generated in each study for the same ‘reference’ NAb and by using the same viral backbone and cell line. Third, our model assumed that protection following vaccination is predominantly due to NAb and that other immune arms play a secondary role. Although the extent to which COVID-19 vaccines trigger other immune arms is being investigated²⁰, the high NAb titers generated after the boost support this assumption. Fourth, NAb are assumed to act primarily by neutralizing virus and thus reducing viral infectivity and the peak viral load in a dose-dependent manner. It is possible that NAb trigger other immune arms, via Fc-mediated mechanisms²⁰. Innate immune responses and CD8 T cells may also reduce the peak viral load^{56,75}. The contributions of these mechanisms to vaccine efficacy remain to be ascertained. Fifth, the severity of symptoms is assumed to depend on the viral load. In clinical trials of vaccine efficacy, individuals are diagnosed after symptom onset. If the minimum viral load for symptom onset, which is unknown, is greater than the assay limit of 100 copies per milliliter, fewer people would display symptoms than would test positive on a nucleic acid test if all individuals were frequently monitored. Vaccine efficacy trials thus report protection against symptoms, whereas our model predicts protection against positivity in a nucleic acid test. The latter might be slightly

lower than the former. Sixth, our within-host model assumes that innate immune responses would render target cells refractory to infection. Although this has been observed with other viruses⁷⁶, and has been used in models of SARS-CoV-2 dynamics⁷⁷, it remains to be demonstrated explicitly in vivo. Seventh, although we assessed the robustness of our model to parameter variations, several of the parameter values employed were based on previous studies or from other viral infection settings. For example, we assumed that the ratio of the neutralization efficiency of NAb in vitro and in vivo, ω , was a constant. We set its value, based on estimates for a few NAb, to one that helped recapitulate clinical data. However, ω might vary across NAb. Knowledge of these parameter values would make our model more robust and improve its predictive ability. Challenge studies on macaques post vaccination could help test these assumptions.

Finally, we note that our study did not consider viral mutations. With five to ten NAb active, viral escape from NAb responses is expected to be unlikely^{51,78}. With the new circulating mutant strains⁷, however, the NAb landscape may have to be reconstructed. Future studies may report DRCs of NAb against the new strains, facilitating such reconstruction. Our formalism could then be applied to predict the efficacies of vaccines against the new strains.

Methods

Data of DRCs. We considered data from studies that reported in vitro DRCs of NAb using SARS-CoV-2 pseudotyped virions^{26,27,30–32,34–44}. We included early studies in our analysis so that the NAb considered were unlikely to be against mutant virus strains. The assays estimated the fraction of infection events unaffected by the NAb as a function of the NAb concentration (Fig. 1 and Supplementary Fig. 2). We extracted the data using Engauge Digitizer 12.1 and ensured consistency with reported details, such as dilution levels used.

Analysis of DRCs. We used the median-effect equation (equation (1)) to analyze the data:

$$\log_{10} \left(\frac{f_u}{f_a} \right) = m \log_{10} \left(\frac{D}{IC_{50}} \right) \quad (1)$$

where f_u and f_a are the fraction of infection events unaffected and affected, respectively, by the NAb in a single round of infection, D is the NAb concentration, IC_{50} is the half-maximal inhibitory concentration and m is the slope. Data were fitted using the tool REGRESS in MATLAB R2017b. Data points with $1\% < f_u < 99\%$ were considered for parameter estimation. We fit the data using equation (1), with m and $-m \log_{10}(IC_{50})$ as adjustable parameters, and obtained estimates of IC_{50} and m for each NAb. We then computed $IIP_{100} = \log_{10} \left(1 + \left(\frac{100}{IC_{50}} \right)^m \right)$. We did not include NAb for which the fits were not satisfactory ($R^2 \leq 0.8$; Supplementary Data 1), possibly arising from large uncertainties in the data. The details of the NAb and parameter estimates are presented in Supplementary Data 1.

In silico simulation of plasma dilution assays. We simulated plasma dilution experiments as follows. We assumed that the plasma contained N NAb in equimolar concentrations sampled from the landscape (Fig. 2a). The reciprocal plasma dilution curve was predicted assuming Loewe additivity (equation (2)) or Bliss independence (equation (3)) between the different NAb^{79–81} using

$$\sum_{i=1}^N \frac{D_i/\gamma}{IC_{50,i} \left(\frac{1}{\epsilon_i} - 1 \right)^{-1/m_i}} = 1 \quad (2)$$

$$\epsilon_B = 1 - \prod_{i=1}^N \frac{(IC_{50,i})^{m_i}}{(IC_{50,i})^{m_i} + (D_i/\gamma)^{m_i}} \quad (3)$$

where γ is the plasma dilution factor, ϵ_i and ϵ_B are the fractions of infection events affected by the plasma in a single round of infection estimated using Loewe additivity and Bliss independence, respectively, D_i is the concentration of the i th NAb in the plasma before dilution, and $IC_{50,i}$ is its half-maximal inhibitory concentration and m_i its slope, with $i \in \{1, 2, \dots, N\}$. We let $N = 10$ in our simulations²⁶. We estimated the value of γ at which $\epsilon = 0.5$ as the corresponding NT_{50} . We chose D_i as D_0/N , and varied D_0 between 0.1 and $100 \mu\text{g ml}^{-1}$ (D_0 is the total NAb concentration).

We repeated these simulations 100 times at different NAb titers, with each simulation representative of an individual patient. We compared the resulting predictions at $D_0 = 30 \mu\text{g ml}^{-1}$ with observations from three patients (Fig. 3b)⁸², which we also digitized. The equation $f_u = \frac{(\gamma)^n}{(\gamma)^n + (NT_{50})^n}$ was fit to the observations from three patients, merely to ascertain the shapes of the curves and their

similarity to those predicted by our calculations. Here, n is the Hill coefficient, γ is the plasma dilution and NT_{50} is the half-maximal inhibitory plasma neutralizing titer. We also compared predictions of the dependence of NT_{50} on NAb titers with experimental observations (Fig. 3c)⁴⁹.

Model of SARS-CoV-2 dynamics. To predict the protection conferred by vaccines, we developed a mathematical model of within-host SARS-CoV-2 infection post vaccination. We adapted previous models^{58,67,77,83} by focusing on early dynamics, required to accurately predict the reduction in the peak viral load due to pre-existing NABs. The following equations described the resulting infection dynamics in vaccinated individuals exposed to the virus:

$$\frac{dT}{dt} = -\beta(1 - \varepsilon)VT - \rho_X XT \quad (4)$$

$$\frac{dR}{dt} = \rho_X XT \quad (5)$$

$$\frac{dI_1}{dt} = \beta(1 - \varepsilon)VT - kI_1 \quad (6)$$

$$\frac{dI_2}{dt} = kI_1 - \delta I_2 \quad (7)$$

$$\frac{dV}{dt} = pI_2 - cV \quad (8)$$

$$\frac{dX}{dt} = \frac{\sigma_X I_2 (1 - X)}{\phi_X + I_2} - d_X X \quad (9)$$

Here, uninfected target cells, T , are infected by SARS-CoV-2 virions, V , with second-order rate constant β , producing infected cells in eclipse phase, I_1 . Cells I_1 convert to productively infected cells, I_2 , with a rate constant k . Cells I_2 produce virions at rate p per cell and are lost with rate constant δ . This transition from target cells to infected cells in the eclipse phase and then the productive phase has been employed in previous models^{58,77}. The virions are cleared with rate constant c . The activation of the innate immune response, quantified phenomenologically using X , is assumed to be a saturable function of I_2 , with maximal rate σ_X and half-maximal activation parameter ϕ_X . If I_2 is not limiting, X would rise at rate σ_X at low X and cease to rise as X approaches 1. This form for the innate immune response has been proposed previously⁸⁴. X converts uninfected cells to an infection-refractory state, R , at a per capita rate ρ_X , and decays with rate constant d_X . The presence of the refractory population has also been proposed in previous models^{77,85,86}. The pre-existing NABs are drawn as random subsets from the landscape (Fig. 2a) to block new infections with an efficacy ε , which is a function of NAB titers and computed using

$$\sum_{i=1}^N \frac{D_i/\gamma}{\omega IC_{50_i} \left(\frac{1}{\varepsilon} - 1\right)^{-1/m_i}} = 1$$

where ω accounts for the difference between in vitro and in vivo IC_{50} values^{53,71}. The neutralizing activity of NABs follows from our observations above (Fig. 3), where this activity recapitulated plasma dilution experiments.

Fits to longitudinal patient data. We considered viral load data from non-vaccinated individuals in three cohorts. One dataset⁵⁷ has patients with mild symptoms. The second dataset⁵⁹ has measurements in the viral expansion phase. We chose nine individuals from the latter dataset who had frequent viral load measurements. The third dataset⁵⁹ has data from hospitalized patients classified by their age (above and below 65 years). We simultaneously fit our viral dynamics model (equations (4)–(9)) to viral loads from all three datasets using a population-based fitting approach via nonlinear mixed effects models (Supplementary Section 1).

Prediction of vaccine efficacy. *Vaccine efficacy.* To examine the variation in peak viral loads with NAB titers (Fig. 4d), we predicted the viral dynamics of 3,500 infected individuals, each individual with different pre-existing NABs sampled from the landscape as well as different values of viral dynamics parameters (Supplementary Tables 1 and 2). To obtain the protection curve (Fig. 5), we sampled antibody concentrations from a uniform distribution ranging between 0.05 and 100 $\mu\text{g ml}^{-1}$, mimicking the range seen experimentally, and simulated viral dynamics in 10,000 virtual individuals, as we describe above, and obtained peak viral loads. Furthermore, for each individual, we also simulated plasma dilution assays and estimated NT_{50} . We then binned individuals into narrow ranges of NT_{50} values. In each bin, we estimated the fraction of individuals with peak viral load below 100 copies per milliliter. This fraction yielded the protection curve. The error

bars (95% CI) were obtained using the Clopper–Pearson method and following the protocols used in clinical trials^{10,87,88}.

Convalescent NT_{50} . Our model captured the experimentally observed dependence of NT_{50} on NAB titers in 15 convalescent patients (Fig. 3c)⁴⁹. NT_{50} as a function of time post symptom onset has also been measured in the study described in ref. ⁴⁹. Following vaccine immunogenicity studies^{28,89}, we randomly sampled one timepoint per patient at least 20 days after initial symptoms and obtained a geometric mean NT_{50} of 565 (Supplementary Fig. 10). We used this value to normalize the NT_{50} predicted by our model.

Parameter sensitivity. The available longitudinal patient data did not allow estimation of all the parameters in our model. We thus fixed several parameters (ρ_X , σ_X , ϕ_X , k , c and d_X) and initial conditions ($T(0)$ and $I_1(0)$) to values from previous studies and estimated the rest (β , p and δ) from fits to patient data (Methods). Overall, the good fits (Fig. 4b and Supplementary Fig. 7) indicate that the parameters recapitulate the patient viral load data. Yet, the choice of values of the ‘fixed’ parameters could introduce uncertainties in the overall parameter estimates. We therefore tested the sensitivity of model predictions of vaccine efficacy to fixed model parameter values and initial conditions by increasing or decreasing the parameter values by twofold, one at a time (Supplementary Fig. 11a). We also performed a global sensitivity analysis and estimated the partial rank correlation coefficients of each parameter (Supplementary Fig. 11b). We found that the vaccine efficacy predictions were most sensitive to the viral clearance rate, c . We therefore varied c , refitted the model to patient data using the same adjustable parameters, and repeated our vaccine efficacy predictions. The protection curves were close to the one described above (Supplementary Fig. 11c). We also obtained protection curves using two different iterations after fitting using Monolix (Supplementary Fig. 11d) and when fixed parameter values were varied over a defined range or held constant (Supplementary Fig. 11e). Finally, we tested the sensitivity of the protection curve to the IC_{50} values of the NABs in vivo by varying ω (Supplementary Fig. 11f).

Data availability

All data supporting the findings of this study are available within the paper and its Supplementary Information files. Source data are provided with this paper.

Code availability

The codes are written in MATLAB and are available on GitHub (<https://github.com/PraneshPadmanabhan/COVID-19-vaccine-efficacies>) and on Zenodo⁹⁰.

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Author contributions

P.P. provided conceptualization, carried out investigations and formal analysis, contributed to writing the original draft and reviewed and edited the manuscript. R.D. performed formal analysis and reviewed and edited the manuscript. N.M.D. provided conceptualization, contributed to writing the original draft and reviewed and edited the manuscript.

Competing interests

The authors declare no competing interests.

Additional information

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