

## Modelling the population-level protection conferred by COVID-19 vaccination

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**Institutions:** University of Queensland, Indian Institute of Science

**Published on:** 20 Mar 2021 - medRxiv (Cold Spring Harbor Laboratory Press)

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# 1 **Modelling the population-level protection conferred by COVID-19 vaccination**

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## 15 **One sentence summary:**

16 Viremic control by the spectrum of neutralizing antibodies elicited by vaccination determines COVID-19  
17 vaccine efficacies.

18

## 19 **Manuscript details:**

20 Abstract: 125 words; Text: ~2500 words; Figures: 4; References: 58 (30 in main text)

21 Supplementary Materials: Tables: 3; Figures: 5

22 **Although severe acute respiratory syndrome coronavirus 2 (SARS-CoV-2) vaccines work**  
23 **predominantly by eliciting neutralizing antibodies (NAbs), how the protection they confer**  
24 **depends on the NAb response to vaccination is unclear. Here, we collated and analysed *in***  
25 ***vitro* dose-response curves of >70 NAbs and constructed a landscape defining the**  
26 **spectrum of neutralization efficiencies of NAbs elicited. We mimicked responses of**  
27 **individuals by sampling NAb subsets of known sizes from the landscape and found that**  
28 **they recapitulated responses of convalescent patients. Combining individual responses**  
29 **with a mathematical model of within-host SARS-CoV-2 infection post-vaccination, we**  
30 **predicted how the population-level protection conferred would increase with the NAb**  
31 **response to vaccination. Our predictions captured the outcomes of vaccination trials. Our**  
32 **formalism may help optimize vaccination protocols, given limited vaccine availability.**

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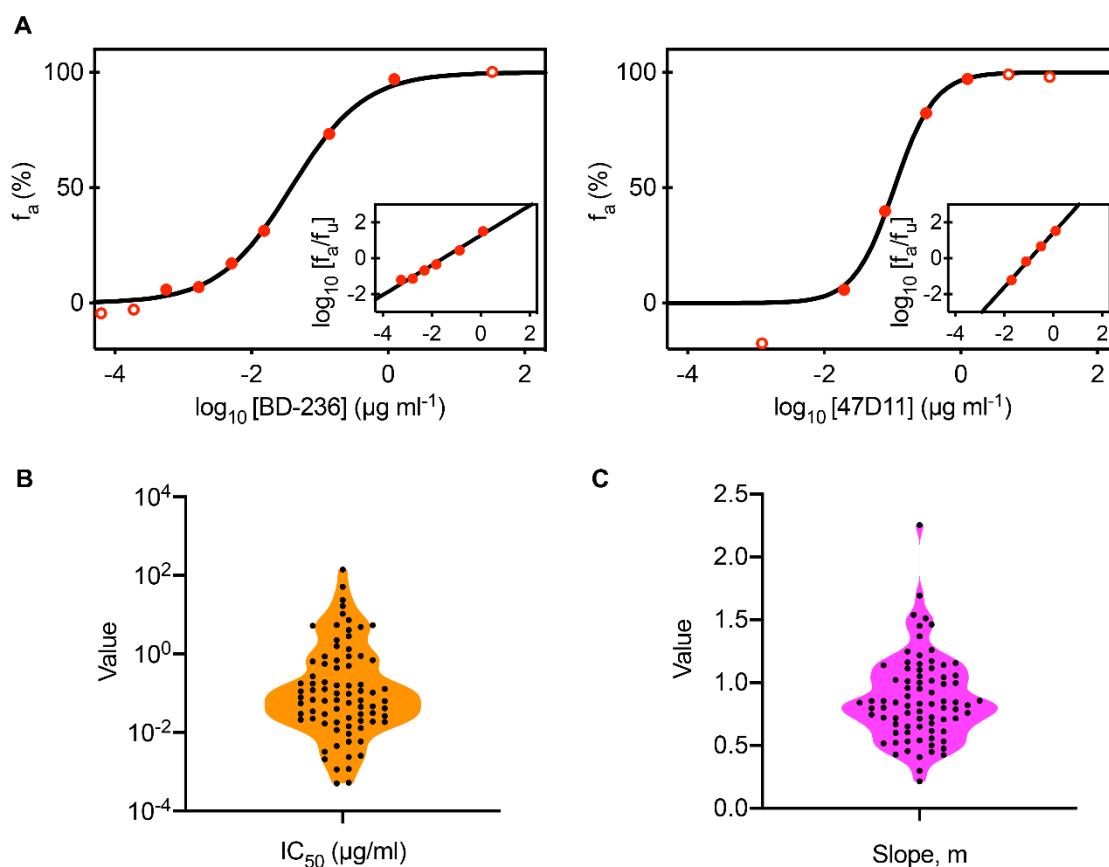
34 Approved SARS-CoV-2 vaccines have shown remarkable but varying efficacies in  
35 clinical trials, reducing the incidence of symptomatic infections by 62-96% (1-4). The  
36 protection has been found to be predominantly due to NAbs elicited by the vaccines; cellular  
37 immunity appeared to play a secondary role (1, 2). The NAb response elicited by primary  
38 SARS-CoV-2 infection is diverse, spanning >1000-fold variation in Ab titres and *in vitro*  
39 neutralization efficiencies across individuals (5, 6), and appears not to correlate with disease  
40 severity (7). NAb titres following vaccination were comparable to or even lower at times than  
41 those from convalescent patients (1, 2, 8). The protection accorded by the vaccines is thus  
42 surprising. It is possible, based on animal studies (9), that lower NAb titres are protective at the  
43 time of challenge than post infection. Knowledge of how the level of protection depends on the

44 NAb titres and their neutralization efficiencies is lacking. This knowledge gap hinders rational  
45 optimization of vaccination protocols, which is important today given limited vaccine supplies  
46 (10). Here, we developed a mathematical model that quantitatively predicts the population-  
47 level protection conferred by vaccines as a function of the NAb responses they elicit.

48 A major challenge to describing the effects of vaccination is the diversity of the NAb  
49 responses elicited; no formalism exists to predict the diversity or its effects on protection. We  
50 addressed this challenge by adapting the classic idea of *shape space*, which has aided  
51 quantification of the immune repertoire (11), for characterizing NAbs. Accordingly, we sought  
52 features, also termed shape parameters, of the NAbs that would predict their neutralization  
53 efficiencies. Numerous studies have isolated individual NAbs from patients and assessed their  
54 neutralization efficiencies *in vitro*, with the aim of developing NAbs for therapeutic  
55 applications. We compiled dose-response curves (DRCs) of >70 NAbs thus isolated and fit  
56 them using the standard sigmoidal function as well as the median-effect equation (12)  
57 (materials and methods, fig. S1, table S1). The equations fit the data well (Fig. 1A, and figs.  
58 S2 and S3), indicating that two parameters, the 50% inhibitory concentration,  $IC_{50}$ , and the  
59 slope,  $m$ , of the DRC, were sufficient to characterize the neutralization efficiency of the NAbs  
60 (Fig. 1A and table S1). The best-fit  $IC_{50}$  and  $m$  varied widely across NAbs (Fig. 1B).  $IC_{50}$   
61 ranged from  $\sim 10^{-3}$   $\mu\text{g/ml}$  to  $\sim 140$   $\mu\text{g/ml}$  (Fig. 1B), in close agreement with reported estimates,  
62 giving us confidence in the fits (fig. S4A and table S1).  $m$ , the importance of which has been  
63 recognized with HIV-1 and hepatitis C (12, 13) but has not typically been reported for SARS-  
64 CoV-2, spanned the range of  $\sim 0.2$  to 2 (Fig. 1). This variability in  $IC_{50}$  and  $m$  was not restricted

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69 **Figure 1. Analysis of dose-response curves of SARS-CoV-2 NAb.** (A) Fits (lines) of the  
70 standard sigmoidal equation and the median-effect equation (*inset*) to published experimental  
71 data (circles) of the fraction of infection events blocked,  $f_u$ , as a function of NAb concentration,  
72 shown for two NAb, BD-236 (left) and 47D11 (right). Experimental data points with  $1\% < f_u$   
73  $< 99\%$  (filled circles) were considered for parameter estimation. Fits for the remaining NAb  
74 are in figs. S2 and S3. The best-fit estimates of (B)  $IC_{50}$  and (C)  $m$  for all the NAb analysed.

75

76 to a particular pseudotyped virus construct or backbone used (fig. S4, B and C), the cell line  
77 used (fig. S4, D and E), or assay conditions, which could vary across studies (fig. S4, F and G).

78 The variability was thus intrinsic to the NAb, indicating the spectrum of NAb elicited.

79 Furthermore, akin to HIV-1 antibodies (12), the variations in  $IC_{50}$  and  $m$  of the SARS-CoV-2

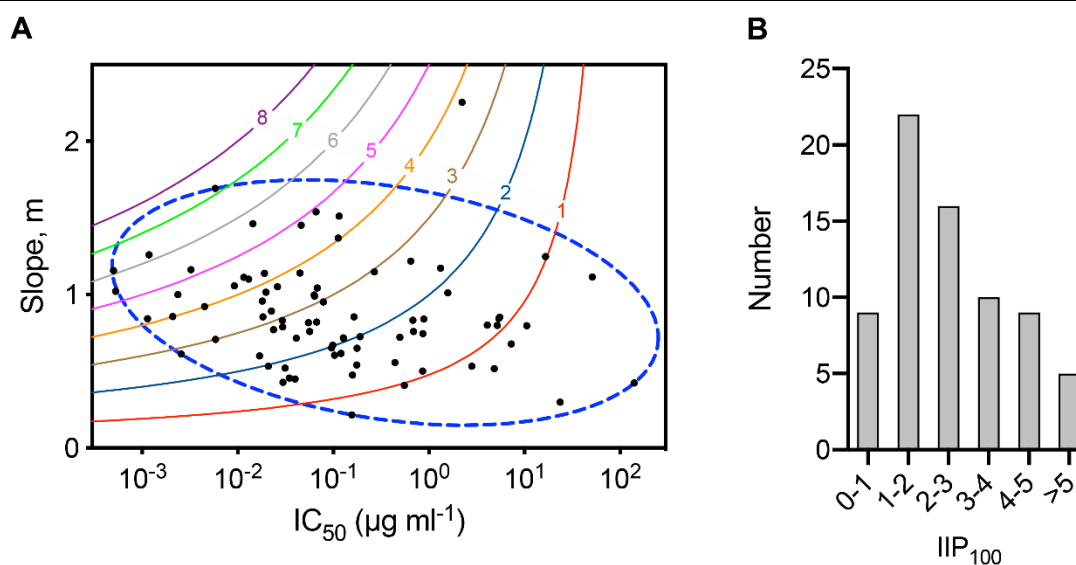
80 NAb appeared independent. For instance, the NAb BD-361 and REGN10954 had similar  $IC_{50}$

81 (both  $\sim 0.04 \mu\text{g/ml}$ ), but vastly different  $m$  ( $\sim 0.7$  and  $\sim 1.5$ , respectively), whereas the NAb

82 CC12.3 and 515-5 had vastly different  $IC_{50}$  ( $\sim 0.02 \mu\text{g/ml}$  and  $1.6 \mu\text{g/ml}$ , respectively), but

83 similar  $m$  (both  $\sim 1$ ).  $IC_{50}$  and  $m$  were thus not only sufficient but also necessary for quantifying  
84 the neutralization efficiencies of NABs. We therefore employed  $IC_{50}$  and  $m$  as the required  
85 shape parameters. Plotting the NABs on an  $IC_{50}$ - $m$  plot, we identified the NAB shape space  
86 (Fig. 2), which, because of its two-dimensional nature, we termed the ‘landscape of SARS-  
87 CoV-2 NABs’.

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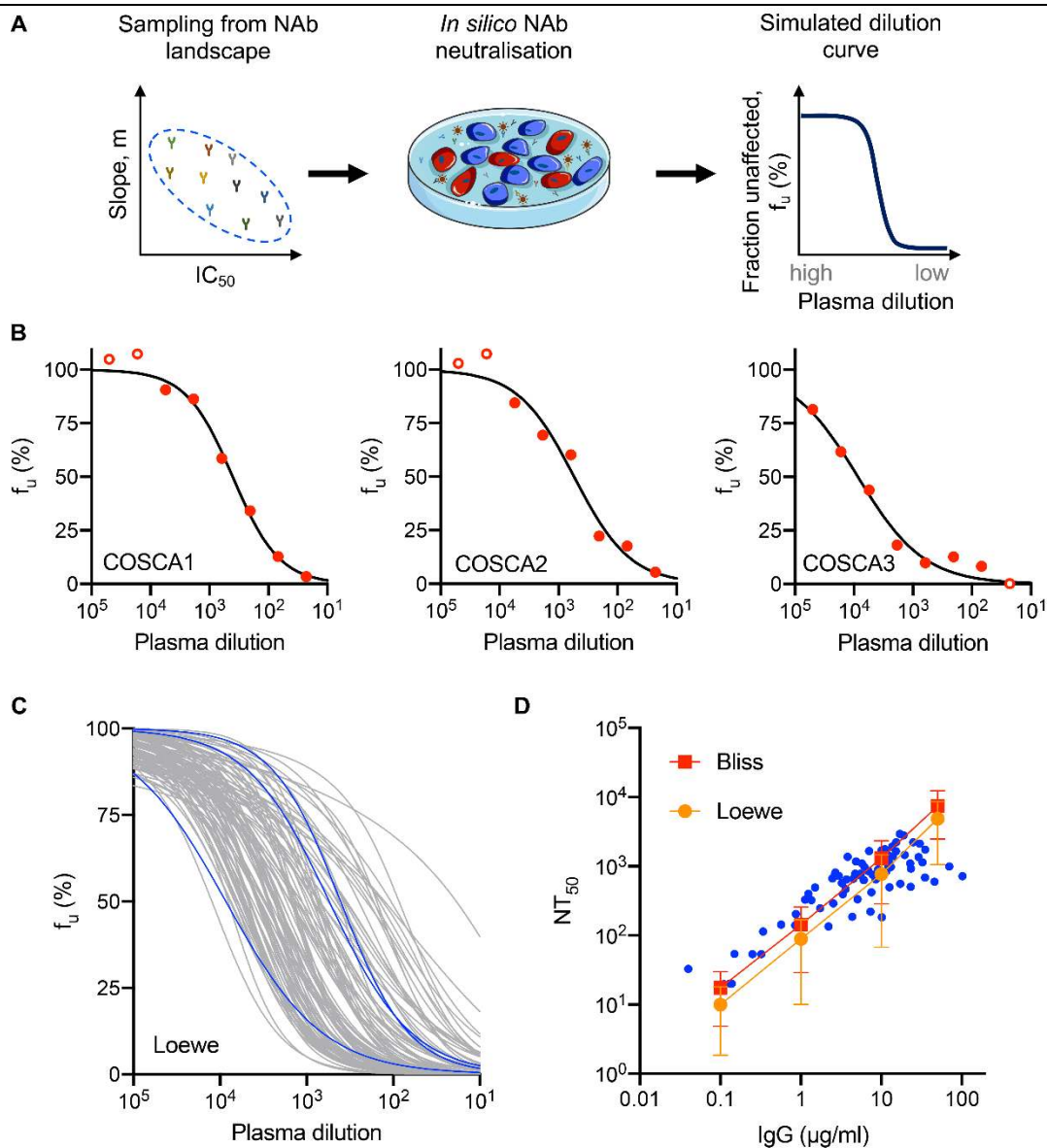


89

90 **Figure 2. The landscape of SARS-CoV-2 NABs.** (A) SARS-CoV-2 NABs analysed in Fig. 1  
91 depicted on an  $IC_{50}$ - $m$  plot. Each dot represents a NAB. 8 NABs that have multiple neutralisation  
92 curves reported are represented multiple times (table S1). Solid lines are loci of points  
93 corresponding to fixed  $IIP$  values computed at 100  $\mu\text{g/ml}$ . The ellipse (blue dashed line)  
94 circumscribes the landscape of SARS-CoV-2 NABs elicited. (B) The distribution of  $IIP_{100}$   
95 values of NABs. Average  $IIP_{100}$  values are used for the 8 NABs mentioned above.

96

97 The landscape contains potent NABs, with low  $IC_{50}$  and high  $m$ , as well as weak NABs,  
98 with the opposite traits. To compare the NABs, we employed the instantaneous inhibitory  
99 potential ( $IIP$ ), a composite metric of  $IC_{50}$  and  $m$  (12-14).  $IIP_D$  represents the  $\log_{10}$  decline in  
100 viral load in a single round infection assay due to the NAB present at concentration  $D$ . Thus,  
101 the higher is the  $IIP_D$ , the more potent is the NAB at concentration  $D$ . NABs displayed a wide  
102 distribution of  $IIP_{100}$  values (Fig. 2B and table S1): We found that 5 NABs had the highest  $IIP_{100}$



**Figure 3. NAb landscape and patient responses.** (A) Schematic of the procedure to predict plasma dilution curves. We represent an individual's plasma by a sample of NABs from the landscape. We predict the fraction of infection events unaffected by NABs,  $f_u$ , at a given plasma dilution in *in vitro* pseudovirus neutralization assays and repeat this at different dilutions to obtain the dilution curve. (B) Representative plasma dilution curves obtained as fits (lines) of

the equation  $f_u = \frac{(\gamma)^n}{(\gamma)^n + (NT_{50})^n}$  to reported data (circles) from three patients (15), where  $n$  is

the Hill coefficient,  $\gamma$  is the plasma dilution and  $NT_{50}$  is the half-maximal inhibitory plasma neutralizing titre. Experimental data points with  $1\% < f_u < 99\%$  (filled circles) were considered for parameter estimation. (C) Predictions (lines) of plasma dilution curves. We assumed ten NABs per patient. Blue lines are fits shown in B.  $D_0 = 30 \mu\text{g/ml}$ . (D) Half-maximal inhibitory plasma neutralizing titre,  $NT_{50}$ , as a function of total NAB concentration. Blue circles are reported estimates from convalescent patients. Red squares and orange circles are the mean of  $NT_{50}$  values predicted from 100 virtual patients at each NAB concentration using Bliss independence and Loewe additivity, respectively. The error bars are standard deviations.

118 values, >5, and 9 had the least, <1 ( $D = 100 \mu\text{g/mL}$ ) (Fig. 2B and table S1). This distribution  
119 of  $IIP_{100}$  values demonstrated further the wide spectrum of neutralization efficiencies of NAbs.

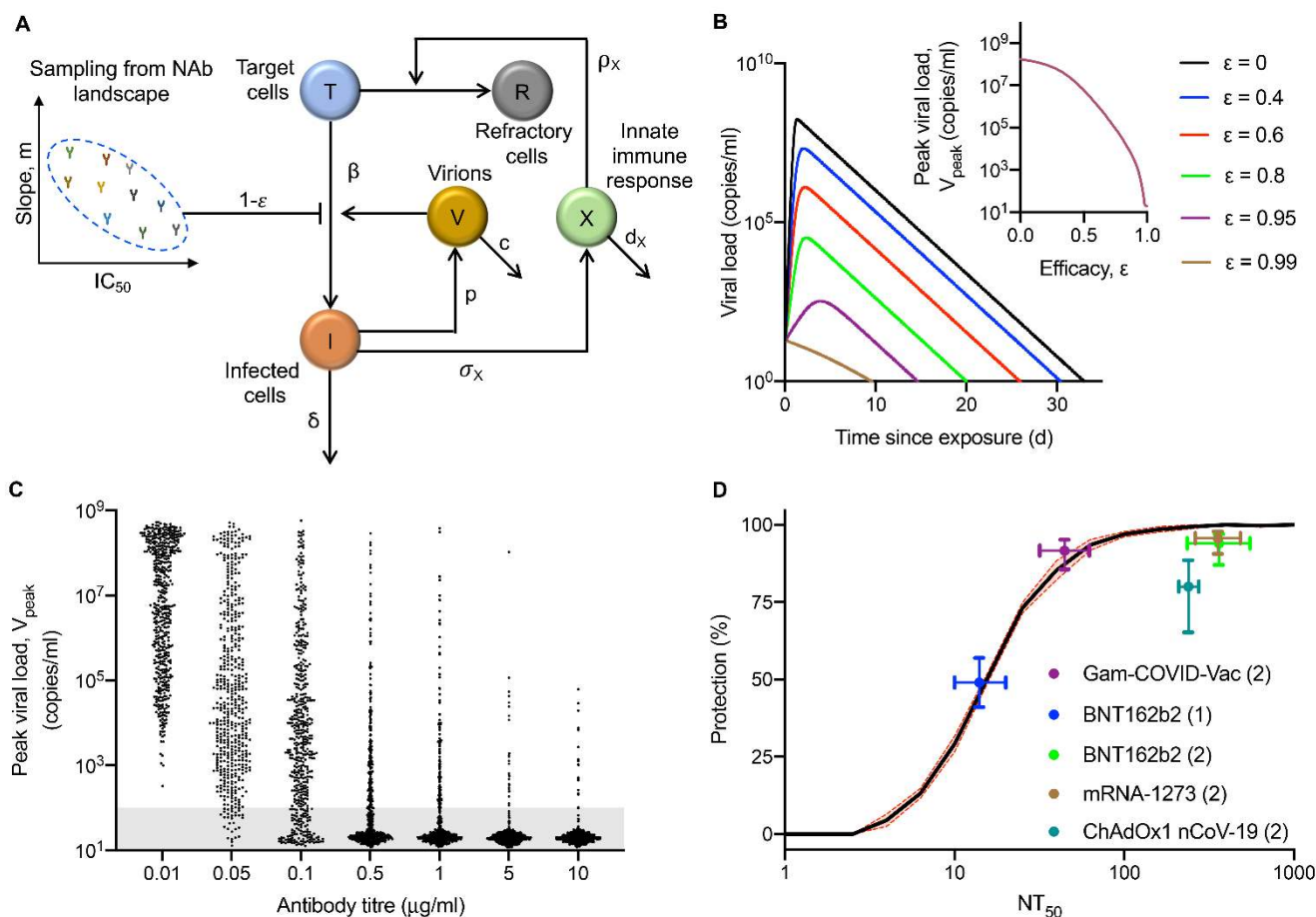
120 The landscape established bounds on the neutralization efficiencies of the NAbs elicited.  
121 We reasoned next that the diversity of the NAb responses across individuals would arise from  
122 the way NAbs are sampled from the landscape. Although a large number of NAbs can be  
123 isolated from individuals, studies of convalescent patient plasma (5, 6, 16-18) as well as on  
124 NAb epitope profiling (19) have argued that the NAb response of an individual can be attributed  
125 to a small subset of 5-10 distinct NAbs. Furthermore, while some epitopes on the SARS-CoV-  
126 2 spike protein, S, are targeted more than others by NAbs, the collection of NAbs produced  
127 differs substantially across individuals (20). We therefore assumed that the response elicited  
128 by an infected individual would be a *small, random subset* of the landscape. We analysed DRCs  
129 of NAbs isolated from individual patients and found that they indeed constituted such random  
130 subsets in the landscape (fig. S5). Accordingly, we sampled random combinations of 10 NAbs  
131 each, each combination representing the response of an individual. We let NAb concentrations  
132 vary across individuals, to mimic the observed variation of the NAb titres (16-18). We  
133 quantified the neutralization efficiency of the NAb response by simulating standard plasma  
134 dilution assays (materials and methods, Fig. 3A). We let the NAbs exhibit Bliss independence  
135 or Loewe additivity, the former representing NAbs targeting distinct, non-occluding epitopes  
136 and the latter the same or occluding epitopes (21). Our simulations recapitulated the dilution  
137 curves associated with patient plasma (Fig. 3, B and C). The values of  $NT_{50}$ , the dilution at  
138 which the neutralization efficiency of the plasma decreases by 50%, were in agreement with  
139 experimental observations (17) (Fig. 3D). The data was described better by Bliss independence



140 at low NAb titres and Loewe additivity at high titres. This is expected because at low titres, the  
141 NAbS are unlikely to interact with each other and would thus follow Bliss independence,  
142 whereas at high titres, they may compete for binding sites on S or occlude each other and thus  
143 exhibit Loewe additivity (21). At any NAb titre, there existed substantial variation in  $NT_{50}$ ,  
144 attributed to the random combinations of NAbS sampled. The variation, however, was  
145 outweighed by the overall rise of  $NT_{50}$  with the NAb titre, consistent with patient data (Fig.  
146 3D). For instance, the  $NT_{50}$  was  $17\pm 13$  at the IgG titre of  $0.1\ \mu\text{g/ml}$  and  $1300\pm 1000$  at  $10\ \mu\text{g/ml}$ .  
147 Sampling from the NAb landscape thus successfully recapitulated patient responses. We were  
148 able to describe the diversity of the NAb responses elicited across patients. Armed with this  
149 description, we examined next the protection accorded by vaccines in clinical trials.

150 Following vaccination, NAb titres rise and are expected to remain stable (or decay  
151 slowly) over weeks to months (22), protecting individuals who might get exposed to the virus  
152 during this period. Individuals were assumed to be protected if they did not report symptomatic  
153 infection; loss of protection involved symptoms and a positive result on a nucleic acid  
154 amplification test (1, 2). Protection with NAbS is expected not to be sterilizing, as suggested  
155 by animal studies (9); NAbS help suppress the peak in viremia, thereby reducing symptoms,  
156 and facilitate more rapid clearance of the infection. If the peak is sufficiently suppressed, no  
157 symptoms may result, as is the case with the ~40% of natural infections that remain  
158 asymptomatic (7). Here, we assumed that an individual would be detected as symptomatically  
159 infected if the viral load rose above a threshold during the infection.

160 To estimate the peak viral load, we developed a mathematical model of the early time  
161 course of the infection, where the viral load typically rises, attains a peak, and declines (23),



162

163 **Figure 4. SARS-CoV-2 dynamics and protection post-vaccination.** (A) Schematic of the  
 164 model of within-host SARS-CoV-2 dynamics post-vaccination depicting the interactions  
 165 between target cells,  $T$ , infected cells,  $I$ , refractory cells,  $R$ , virions,  $V$ , innate immune  
 166 response,  $X$ , and pre-existing NAb, sampled from the landscape. (B) Predictions of viral load in non-  
 167 vaccinated (black line) and vaccinated (coloured lines) individuals with different fixed  
 168 efficacies of NAb indicated. *Inset*: Predicted peak viral load at different efficacies. (C)  
 169 Predictions of peak viral load at different NAb titres. Each dot represents a patient. (D) Model  
 170 predictions of the relationship between mean protection and  $NT_{50}$  (solid line) compared with  
 171 data from vaccination trial (symbols). The number of doses of the vaccine administered is  
 172 mentioned in brackets. The error bars (dashed lines) in the protection curve are the standard  
 173 deviation from 5 realizations of *in silico* patient populations. The data from the trials used is  
 174 summarized in table S3. The model equations and simulation procedure are described in  
 175 materials and methods.

176

177 and applied it to describe the effect of vaccination (Fig. 4A, table S2, materials and methods).

178 The structure of the model mimics recent models that have captured patient data of viral load

179 changes following primary infection (24, 25) (see Fig. 4B,  $\epsilon=0$ ). In addition, we assumed that

180 NAb generated following vaccination would exist at the start of infection and neutralize free  
181 viruses, effectively reducing viral infectivity. The greater the reduction in infectivity, the lower  
182 the peak viral load (Fig. 4B,  $\epsilon > 0$ ). Significant *de novo* NAb production post-infection typically  
183 occurs after the peak in viremia (7). We therefore considered pre-existing NAb as responsible  
184 for protection and assumed their titres not to vary substantially during the course of the  
185 infection, given the typically short course of the infection and the much longer durability of the  
186 NAb response to vaccination (22). (Our model is not applicable to natural infection before  
187 vaccination; no models are currently capable of correctly describing NAb responses following  
188 primary infection.) We let the pre-existing NAb be drawn as random subsets from the  
189 landscape, as we did above. The NAb neutralized free viruses with an efficiency that we  
190 estimated using Loewe additivity between the individual NAb (Fig. 4). NAb titres in the lung  
191 airways are expected to be similar to those in the blood given the close coupling between the  
192 lungs and the circulatory system (7). We simulated a virtual patient population of 3500  
193 individuals, on the order of the number of individuals infected in the placebo arms of clinical  
194 trials. The individuals all had distinct viral dynamics parameters drawn from known ranges  
195 (table S2), to mimic interpatient variability in addition to the variability arising from NAb  
196 sampling from the landscape. Our model predicted wide variability in the peak viral load (Fig.  
197 4C). At low pre-existing NAb concentrations ( $0.01 \mu\text{g/mL}$ ), indicative of the scenario without  
198 vaccination, the predicted peak viral load ranged from  $\sim 10^3$  to  $10^9$  copies/ml, consistent with  
199 the range in symptomatic individuals (26). The peaks declined as NAb titres increased. The  
200 limit of detection is  $\sim 10^2$  copies/ml (27), which we set as the threshold for symptomatic

201 infection that would be detected in trials. The fraction of individuals with peaks below detection  
202 would indicate the level of protection due to the vaccine.

203 To quantify the mean level of protection and test it against data from clinical trials, we  
204 used viral dynamics parameters representative of symptomatic infections (24, 25) (table S2)  
205 and simulated the dynamics in 5 cohorts of 2000 infected individuals each. Vaccination studies  
206 report the  $NT_{50}$  values of the NAb responses elicited and the associated mean protection level,  
207 or efficacy (table S3). We binned the different individuals into narrow  $NT_{50}$  bands and  
208 calculated the mean protection in each band. We found that the mean protection was low for  
209  $NT_{50} \sim 1$ . It increased in a sigmoidal manner to 50% at  $NT_{50} \sim 20$  and asymptotically reached  
210 100% at  $NT_{50} \sim 200$ . Remarkably, the data for nearly all approved vaccines fell on this  
211 ‘protection curve’, explaining the protection they confer (Fig. 4D). Thus, for instance, a single  
212 dose of the vaccine BNT 162b2 elicited NABs with  $NT_{50}$  of 14 and accorded 49% protection.  
213 Following two doses, the corresponding values were 361 and 94%, respectively. These values  
214 as well as those for other vaccines were captured accurately by our model predictions. The only  
215 exception was ChAdOx1 nCoV-19, which had a lower protection than predicted, the reasons  
216 for which remain to be elucidated.

217 Our study provides the first conceptual, mechanistic and quantitative understanding of  
218 the protection conferred by COVID-19 vaccines. Our findings would inform strategies for  
219 optimal vaccine deployment. With limited vaccine availability, it would be useful to estimate  
220 the protection realizable by a single dose of a prime-boost vaccine, especially in younger, less  
221 vulnerable adults (10). Our formalism would enable this estimation: measurements of  
222 corresponding  $NT_{50}$  values would allow reading off the expected protection levels from our

223 protection curve. Similarly, using measurements of the waning of NAb titres post-vaccination,  
224 how the population-level protection due to pre-existing NAb would fade could be predicted.  
225 Protection would then rely on memory B cell responses, which are yet to be fully understood  
226 (28), or indicate the need for revaccination. Our study did not consider viral mutations because  
227 with 5-10 NAb active, viral escape from NAb responses is expected to be unlikely (19, 29).  
228 With the new circulating strains (30), however, the NAb landscape may have to be  
229 reconstructed. Future studies may report DRCs of NAb against the new strains, facilitating  
230 such reconstruction.

231

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368 **Acknowledgements**

369 **Funding:** This work was supported by the DBT/Wellcome Trust India Alliance Senior  
370 Fellowship IA/S/14/1/501307 to NMD. **Author contributions:** PP: Conceptualization,  
371 Investigation, Formal analysis, Writing-original draft, Writing-review & editing; RD: Formal  
372 analysis, Writing-review & editing. NMD: Conceptualization, Writing-original draft, Writing-  
373 review & editing. **Competing interests:** The authors declare that no conflicts of interests exist.  
374 **Data and materials availability:** All relevant data are available within the manuscript and  
375 supplementary materials.

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