Genotypic and Spatial Analysis of *Mycobacterium tuberculosis* Transmission in a High-Incidence Urban Setting

Fabiola Karla Correa Ribeiro,1 William Pan,2 Adelmo Bertolde,3 Solange Alves Vinhas,1 Renata Lyrio Peres,1 Lee Riley,4 Moisés Palaci,1 and Ethel Leonor Maciel5

1Graduate Program in Infectious Diseases, Federal University of Espírito Santo, Vitória, Brazil; 2Duke Global Health Institute and Nicholas School of Environment, Duke University, Durham, North Carolina; 3Department of Statistics, Federal University of Espírito Santo, Vitória, Brazil; 4Division of Infectious Disease and Vaccinology, School of Public Health, University of California, Berkeley; and 5Graduate Program in Public Health, Federal University of Espírito Santo, Vitória, Brazil

**Background.** Genotyping *Mycobacterium tuberculosis* isolates allows study of dynamics of tuberculosis transmission, while geoprocessing allows spatial analysis of clinical and epidemiological data. Here, genotyping data and spatial analysis were combined to characterize tuberculosis transmission in Vitória, Brazil, to identify distinct neighborhoods and risk factors associated with recent tuberculosis transmission.

**Methods.** From 2003 to 2007, 503 isolates were genotyped by IS6110 restriction fragment length polymorphism (RFLP) and spoligotyping. The analysis included kernel density estimation, K-function analysis, and a t test distance analysis. *Mycobacterium tuberculosis* isolates belonging to identical RFLP patterns (clusters) were considered to represent recent tuberculosis infection (cases).

**Results.** Of 503 genotyped isolates, 242 (48%) were categorized into 70 distinct clusters belonging to 12 RFLP families. The proportion of recent transmission was 34.2%. Kernel density maps indicated 3 areas of intense concentration of cases. K-function analysis of the largest RFLP clusters and families showed they co-localized in space. The distance analysis confirmed these results and demonstrated that unique strain patterns (controls) randomly distributed in space. A logit model identified young age, positive smear test, and lower Index of Quality of Urban Municipality as risk factors for recent transmission. The predicted probabilities for each neighborhood were mapped and identified neighborhoods with high risk for recent transmission.

**Conclusions.** Spatial and genotypic clustering of *M. tuberculosis* isolates revealed ongoing active transmission of tuberculosis caused by a small subset of strains in specific neighborhoods of the city. Such information provides an opportunity to target tuberculosis transmission control, such as through rigorous and more focused contact investigation programs.

**Keywords.** tuberculosis; molecular epidemiology; transmission; spatial analysis.
Although the Brazilian Ministry of Health implemented a new policy incorporating a tuberculosis control program (TCP) in family health units in 2004 [8, 9], Brazil still reports an average incidence of new cases of tuberculosis of 46 per 100,000 per year [1]. In Vitória, a large urban setting and capital of Espírito Santo state, the average incidence in the last decade was higher, at 51 per 100,000 [10]. This may be related to a variety of factors including delay in diagnosis and poor contact investigation strategies. In Vitória, most patients with newly diagnosed tuberculosis are referred to 1 of 2 tuberculosis clinics, where they are followed for treatment. Approximately 50% of the tuberculosis patients in the city are under a directly observed therapy–short course program. Household contact investigation is done in approximately 80% of cases. Despite these programs, a delay of an average of 110 days in the diagnosis of tuberculosis after symptom onset was reported in Vitória [11].

New cases of tuberculosis in a neighborhood could represent reactivation from a past infection or rapidly progressive disease from a recent transmission. For tuberculosis control, it is important to know not just when, but also where patients were infected. Research to evaluate the spatial distribution of tuberculosis and identify high-risk areas has been conducted [12–16], but such studies are still limited in high-burden countries [17]. Most of the reported spatial distribution studies did not combine genotyping and geocoding data to assess if the cases of tuberculosis in a neighborhood represented recent infection or reactivation tuberculosis.

Here, we combined genotyping data with spatial analysis to characterize tuberculosis transmission in Vitória from 2003 to 2007, by identifying distinct geographic areas and associated risk factors of recent transmission. This information is essential to design more focused tuberculosis control strategies in high-risk populations and interpret chain of transmission in areas of high endemicity.

METHODS

Ethics Statement
This study was part of a larger project that was approved by the Institutional Review Board of Universidade Federal do Espírito Santo, Brazil, under number 121/06.

Study Design and Site
The study included all newly diagnosed patients confirmed to have tuberculosis by culture, reported from January 2003 to December 2007, among residents of Vitória, Espírito Santo State, Brazil. Vitória has a population of 330,000 and an area of 93,381 km², divided between an island and mainland sections. The city is comprised of 78 municipalities (neighborhoods), with a population density that varies from 6.18 per km² to 236.01 per km² (Supplementary Material).

Demographic and clinical data were obtained from the Sistema de Informação de Agravos de Notificação national database and the Instituto Brasileiro de Geografia e Estatística 2000 census. Individual-level variables included sex, age, ethnic group, chest radiograph, form of disease, human immunodeficiency virus infection, and sputum smear result. Socioeconomic variables were summarized by neighborhood according to census and included number of households earning more than or less than US $1500 (10 minimum salaries) per month; heads of household earnings per month; number of heads of household earning up to US$75 (half a minimum salary); number of households owned by their residents; number of households connected to sewage; number of households with electricity; urbanized area; Index of Quality of Urban Municipality (IQU) as defined by Maciel et al [15]; and population density.

Genotyping Methods
Sputum cultures for tuberculosis diagnosis are done routinely by the Mycobacteriology Laboratory at Núcleo de Doenças Infecciosas, Universidade Federal do Espírito Santo, and M. tuberculosis isolates are stored for further investigation and epidemiologic surveillance. Mycobacterium tuberculosis isolates stored at −70°C were recultured in Ogawa media, and all viable isolates were typed by the insertion sequence (IS) 6110 restriction fragment length polymorphism (RFLP) method according to a standard protocol [18]. Banding pattern results were entered into a database with Bionuméricus software (version 4.5 [2005], Applied Maths, Belgium), and cluster analysis was performed by unweighted pair group method with arithmetic mean. A cluster was defined as an indistinguishable IS6110 RFLP electrophoretic band pattern. RFLP profiles with similarity of >80% (generally differing by 1 or 2 bands) were considered members of the same “family” [19]. Fingerprint patterns that were distinctly different from any other pattern identified among the isolates studied were considered unique or nonclustered patterns.

Isolates with <5 IS6110 copies were considered to belong to cluster or noncluster strains based on spoligotyping results. For spoligotyping, primers designated DRa and DRb were used to amplify the whole direct repeat region as described previously [20]. The recent transmission rate was estimated by the “n-1 method” [5], according to the formula (T(c) – n(c))/T(a), where T(c) is the total number of clustered isolates, n(c) is the number of clusters, and T(a) is the total number of isolates.

Statistical Analysis
Patients were divided into 2 groups: Patients infected with cluster strains were defined as cases; patients infected with noncluster strains were defined as controls. The former group was considered to have recent transmission tuberculosis, whereas the latter was considered to have reactivation tuberculosis. Univariate analyses were conducted to identify risk factors for
recent transmission tuberculosis by \( \chi^2 \), Fisher exact, and Student \( t \) tests, based on the variables considered. All variables that were significantly associated with cases (\( P \leq .05 \)) were included in a multivariate analysis. The statistical analysis was carried out using SAS software version 12.1 and R software version 3.0.2 (The R Foundation for Statistical Computing).

**Spatial Analysis**

We conducted spatial analysis with the genotype data to identify geographic clusters of transmission among cases and controls. Residential addresses at the time of diagnosis were geocoded by ArcGIS (Esri, Redlands, California), and surveillance records were reviewed to avoid misclassification. As this is one of the first attempts to conduct spatial analysis on \( M. tuberculosis \) genotypes, 3 approaches were used: kernel density estimation (KDE) for the locations of cases and controls; a K-function on predicted estimates from a random-effects logit model, and a \( t \) test distance analysis.

KDEs are used to provide a nonparametric approach that compares the observed number of events occurring within a given distance of an event to the expected number. A Gaussian kernel function was used for this study.

The second approach began by fitting a multivariate logit model with a random neighborhood effect to predict presence of a cluster. The neighborhood random effect was output, which represents the effect of unmeasured covariates at the neighborhood level. In theory, these effects should exhibit zero spatial autocorrelation, whereas correlation would imply clustering at the neighborhood level. Spatial correlation of the neighborhood effects were tested using nonhomogeneous K-function [21]. Because of the higher impact in the transmission chain of the disease, the 5 largest genotype clusters were chosen for this spatial analysis.

Two additional tests were conducted to evaluate spatial clustering of RFLP families: an additional K-function and a distance analysis. To conduct these tests, we first output the centroid of each cluster and then computed distances (in meters) from each RFLP family member to the cluster center. Then, the mean distances among all patients in each of the RFLP families were compared to the mean distance among the patients in the control group by \( t \) test. A significant difference in distances would indicate that RFLP families tend to cluster spatially.

A logit model with random neighborhood effects was used to evaluate univariate and multivariate associations. Only significant variables were considered for the multivariate model. Model selection involved inclusion of all covariates and sequentially removing covariates that did not contribute to model fit. The random effect for each neighborhood was output for each neighborhood, which is the estimated log-odds (logit) of being in a cluster, with positive values indicating higher odds. The log odds were converted into a predicted probability with the formula \( \text{prob} = 1/(1 + \exp(-\text{RE})) \), and this value was mapped.

**RESULTS**

From 1 January 2003 to 31 December 2007, 836 cases of tuberculosis were reported in Vitória, with \( M. tuberculosis \) isolated.

![Figure 1](cid:2015:61) Kernel density estimation (KDE) map of clustered strains (A) and empirical Bayesian odds ratio estimates (cases:controls) (B). A. The white color represents areas with the most intense concentration of clustered strains (dots). Bayesian analysis was made on a census tract scale whereas the kernel densities used points.
from 534 (64%). Of these 534 cases, 31 (6%) patients were excluded—17 had nonviable isolates for strain type analysis and 14 had 2 isolates with an identical IS6110 RFLP pattern in different years—resulting in a total of 503 patients. The average age of the patients was 38.2 years (range, 1–88 years), and 356 (70.7%) were males; 242 patients (48.1%) met the criteria for recent-transmission tuberculosis based on their Mycobacterium tuberculosis genotype. These patients were infected with strains that were categorized into 70 distinct clusters ranging in size from 2 to 17 per cluster: 37 small clusters (52.9%) with 2 cases each, 29 medium clusters (41.4%) with 3–8 cases each, and 4 large clusters (5.7%) with ≥9 cases each. All clusters were grouped into 12 RFLP families; 4 of these comprised 54.9% of the clustered isolates (Supplementary Material).

Two hundred sixty-one patients (51.9%) had unique pattern isolates. However, 147 (56.3%) of them had fingerprint patterns that were >80% similar to one of the identified clusters, suggesting that they might belong to related lineages (RFLP family).

The proportion of cases attributable to recent transmission was estimated to be 34% (172/503). The proportion of household transmission, based on cluster pattern strains isolated in the same household, was 5.7% (29/503).

The kernel density map of clustered strains shows 3 areas with the highest predicted concentration of cases in the west, center, and southwest areas of the city (Figure 1A). These neighborhoods all share common tuberculosis risk factors: low income, slums, and overcrowding. When the kernel map is compared to a map showing the ratio of empirical Bayesian estimates of cases and controls, there is strong agreement in the identification of where tuberculosis transmission risk is highest (Figure 1B).

K-function analyses of the largest clusters (ES14, ES14o, ES1b, ES19h, and ES8) are seen in Figure 2. The x-axis represents interpoint distances; the y-axis shows the K-value. Results indicate evidence for positive spatial correlation (clustering) for each of the clusters as the K-function falls outside the estimated confidence bands for nonspatial correlation.

To evaluate whether the related RFLP families (ES14, ES1, ES19, and ES8) also exhibited spatial clustering, we identified isolates with RFLP patterns that were >80% similar to the patterns of the largest clusters and performed an additional K-function analysis. The K-function results suggested that the cases in RFLP families were also spatially clustered (Figure 3). The distance analysis also showed there was no statistically significant difference between the distances of identical cases and families to the centroid, except for cluster ES19h. However, distances between cases in each family to the centroid statistically differed from distances between patients in the control group. These results imply that although both identical and family
strains tend to cluster in space, nonfamily strains representing possible reactivation tuberculosis cases do not occur in the same geographic locations (Table 1).

A logit model with random neighborhood effects was used to evaluate univariate and multivariate associations with having an *M. tuberculosis* isolate that was member of an RFLP cluster.

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**Figure 3.** K-function analysis of the largest restriction fragment length polymorphism families: ES19 (A), ES14 (B), ES1 (C), and ES8 (D). The x-axis represents interpoint distances; the y-axis represents the K-value. The dotted lines are the 95% confidence envelope of complete spatial randomness, whereas the solid line shows the actual values obtained. Values above the confidence envelope indicate positive spatial correlation (clustering) among cases; values below it indicate nonspatial correlation.

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**Table 1.** Average Distances Between Residential Geocoded Addresses for Controls, Restriction Fragment Length Polymorphism Families, and Clusters

<table>
<thead>
<tr>
<th>Groups Compared</th>
<th>P Value*</th>
<th>Average Distance (Meters)</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>RFLP Family</td>
</tr>
<tr>
<td>Distance between points in each RFLP family and the points of controls</td>
<td></td>
<td></td>
</tr>
<tr>
<td>RFLP family ES14 and controls</td>
<td>.00</td>
<td>3242</td>
</tr>
<tr>
<td>RFLP family ES1 and controls</td>
<td>.00</td>
<td>3225</td>
</tr>
<tr>
<td>RFLP family ES19 and controls</td>
<td>.00</td>
<td>4326</td>
</tr>
<tr>
<td>RFLP family ES8 and controls</td>
<td>.00</td>
<td>2249</td>
</tr>
<tr>
<td>Distance of points from each group in relation to the original cluster centroid</td>
<td></td>
<td>Cluster Original</td>
</tr>
<tr>
<td>RFLP family ES14 and cluster ES14</td>
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<td>2325</td>
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<tr>
<td>RFLP family ES1 and cluster ES1b</td>
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<td>2486</td>
</tr>
<tr>
<td>RFLP family ES19 and cluster ES19h</td>
<td>.00</td>
<td>1878</td>
</tr>
<tr>
<td>RFLP family ES8 and cluster ES8</td>
<td>.66</td>
<td>1243</td>
</tr>
<tr>
<td>RFLP family ES14 and cluster ES14o</td>
<td>.23</td>
<td>2166</td>
</tr>
</tbody>
</table>

Abbreviation: RFLP, restriction fragment length polymorphism.

* For P values <.05, the hypothesis of equal mean distances was rejected.
Univariate analyses identified young age, black race, chest radiograph suspicious for tuberculosis, positive sputum microscopy test, low IQU, population density, households connected to sewage, and number of people aged 20–34 years who are literate to be associated with having an M. tuberculosis isolate that was a member of an RFLP cluster. The final multivariate model identified 4 variables to be more associated with being in a cluster: young age (10–19 and 20–34 years); positive sputum microscopy test; lower IQU; and lower population density (however, population density appears to have a curvilinear relationship) (Supplementary Material). The estimated log-odds (logit) of being in a cluster were converted to predicted probabilities for each neighborhood and mapped to demonstrate the variability in risk (Figure 4).

DISCUSSION

The proportion of new cases of tuberculosis due to recent transmission in a community is a reflection of the effectiveness of a current TCP in that community. High recent transmission tuberculosis incidence is indicative of an inadequate TCP [1, 22].

In this study, a high proportion of RFLP genotype clustering was found (48.1%). A meta-analysis study [7] described a large variation in clustering proportions, from 6% to 86%, among 46 studies, while Fok et al [6] described proportions of recent transmission that ranged from 4% to 60% with a median of 28% among 35 studies. However, these studies did not examine the spatial distribution of the genotypes to identify neighborhoods representing high rates of ongoing tuberculosis transmission.

Here, we found that a large proportion (55%) of clustered M. tuberculosis isolates belonged to only 4 major cluster pattern families. Also, 56% of the unique pattern strains had patterns that were >80% similar to those of other cluster pattern strains. Recently transmitted bacteria may also be reported as unique strains if M. tuberculosis genotype changed over time [23]. The half-life of RFLP genotypes has been estimated to vary between 3 and 10 years in certain situations [24, 25]. Although specific epidemiologic links could not be detected within our study groups, these findings suggest that the incidence of tuberculosis in this region may be strongly influenced by a relatively small subset of actively circulating strains. It is known that in areas with a higher incidence of tuberculosis, RFLP patterns

![Figure 4. Estimated predicted probabilities of tuberculosis recent transmission per neighborhood. In most of the neighborhoods where the predicted probability of clustering is >0.55, the largest restriction fragment length polymorphism families (ES19, ES14, ES1, and ES8) represent the majority of cases.](image-url)
are often less variable than in low-incidence areas [26]. The same observation was made in São Paulo by Ferrazoli et al [27]. For this reason, our spatial analysis included isolates from RFLP families.

Kernel analysis clearly shows 3 high-density areas with the highest proportion of persons infected with genotypically clustered strains; these areas also have the highest ratio of empirical Bayesian estimates of cases and controls, confirming that these are the areas with a higher risk of recent tuberculosis transmission. Also, K-function analysis shows that RFLP clusters and families tend to cluster geographically whereas control strains do not, being more randomly distributed.

By distance analysis, it was possible to determine mean distances of approximately 2000 m among cases, suggesting that, although most of the time transmission does not occur in the household, it occurs in a larger but delimited area. A previous study in a high-incidence Western Cape area has confirmed that tuberculosis is not transmitted primarily within households [28], which was also observed in our study. Our genotyping data indicated that household transmission was responsible for only 5.7% of the cases.

Collectively, our data demonstrate that tuberculosis transmission in Vitoria is spatially determined and that recent transmission most frequently occurs among younger adults, in those with positive sputum microscopy test and low IQU. Furthermore, our study shows that new tuberculosis cases do not just cluster in space as previously shown by Maciel et al [15], but that certain *M. tuberculosis* lineages tend to cluster even after controlling for known individual and socioeconomic factors that can influence transmission. This could mean that tuberculosis is most likely transmitted within spatially defined areas of poverty with poor housing and sanitation conditions. Another explanation could be that spatial clustering is a proxy for social networks. People are likely to be in a social network within their neighborhood, which is typically fluid across an urban area. The network likely breaks down by economic or racial barriers as one moves across an urban landscape (ie, people within poor neighborhoods are likely interacting and participating in similar activities, but as one moves from one block to a neighboring, more wealthy block, the ties between rich and poor households tend to collapse). Therefore, once an *M. tuberculosis* lineage enters a social network, that particular strain and its related family strains are more likely to propagate and remain in that network than other strains. Due to spatial clustering and limits to the social network, the transmission of the strain is self-limiting—that is, it has lower probability to spread to different parts of the city depending on specific characteristics of who is infected (travel patterns, employment, use of public transportation, etc). Some studies build on the argument that infectious disease transmission is a function of biological and social factors [29–31]. To understand how they are transmitted requires understanding both processes. Our study reveals transmission patterns that are highly spatial and indicates paths that follow distinct social classes.

Apart from genotyping and epidemiologic studies of tuberculosis that revealed social groups frequenting bars, we were not able to identify other studies that examined tuberculosis transmission among social networks based on population-based *M. tuberculosis* genotyping and geocoding data [28, 32, 33].

Recommendations have been made that the reduction of tuberculosis transmission should be based on locations rather than on personal contacts [34, 35]. Our data can provide a useful instrument for structuring a territory-based surveillance system. Detection of recent-transmission tuberculosis high-density areas can also aid the TCP to direct specific interventions toward those areas at greatest risk.

The restriction of the spatial analysis to residential addresses at diagnosis was a limitation of our study. Transmission can occur in workplaces, social venues, and other settings, which we could not identify. Also, although persons with culture-negative tuberculosis seldom transmit infection, the absence of genotyping data from those individuals means that transmission to them cannot be assessed, which can lead to an underestimation of recent transmission [36]. However, as we genotyped 96.8% of our culture-positive cases, we believe our findings to reflect the actual patterns of tuberculosis transmission in the city.

Some of the strengths of this study were its 5-year duration and the high percentage of genotyped isolates from patients living in a clearly defined study area. It is known that the size of clustering depends on study duration, which increases with longer duration until a plateau is reached after about 4 years [37–39], and that a small sample size and a poorly defined area can underestimate clustering proportions [7].

**CONCLUSIONS**

Case-finding strategies of TCPs are generally based on identifying people with tuberculosis-related symptoms when they seek care at primary health clinics and screening household contacts of confirmed cases. Our results suggest a possibility for implementing a new case-finding strategy based on screening populations in neighborhoods with high-density recent-transmission tuberculosis and social network analyses. In this context, the linkage of geocoding and genotyping data is a powerful tool to improve targeted tuberculosis control and prevention programs, especially in developing countries with high tuberculosis incidence.

**Supplementary Data**

Supplementary materials are available at *Clinical Infectious Diseases* online (http://cid.oxfordjournals.org). Supplementary materials consist of data
provided by the author that are published to benefit the reader. The posted materials are not copylefted. The contents of all supplementary data are the sole responsibility of the authors. Questions or messages regarding errors should be addressed to the author.

Notes

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