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**1Comparison of traditional and novel self-report measures to an alcohol biomarker for quantifying
2alcohol consumption among HIV-infected adults in sub-Saharan Africa**

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27**Background:** In sub-Saharan Africa (SSA), HIV-infected patients may under-report alcohol consumption.
28We compared self-reports of drinking to phosphatidylethanol (PEth), an alcohol biomarker. In particular,
29we assessed beverage-type adjusted fractional graduated frequency (FGF) and quantity frequency (QF)
30measures of grams of alcohol, novel non-volume measures, and the Alcohol Use Disorders Identification
31Test – Consumption (AUDIT-C).

32**Methods:** We analyzed cohort-entry data from the Biomarker Research of Ethanol in Those with HIV
33cohort study (2011-2013). Participants were HIV-infected past year drinkers, newly enrolled into care.
34Self-report measures included FGF and QF grams of alcohol, the AUDIT-C, number of drinking days, and
35novel adaptations of FGF and QF methods to expenditures on alcohol, time spent drinking, and symptoms
36of intoxication. PEth levels were measured from dried blood spots. We calculated Spearman's rank
37correlation coefficients of self-reports with PEth and bias-corrected bootstrap 95% confidence intervals
38(CI) for pairwise differences between coefficients.

39**Results:** A total of 209 subjects (57% male) were included. Median age was 30; inter-quartile range
40(IQR) 25-38. FGF grams of alcohol over the past 90 days (median 592, IQR 43 to 2137) were higher than
41QF grams (375, IQR 33 to 1776), $p < 0.001$. However, both measures were moderately correlated with
42PEth; $\rho = 0.58$, 95% CI 0.47 to 0.66 for FGF grams and 0.54, 95% CI 0.43 to 0.63 for QF grams (95%
43CI for difference -0.017 to 0.099, not statistically significant). AUDIT-C, time drinking, and a scale of
44symptoms of intoxication were similarly correlated with PEth ($\rho = 0.35$ to 0.57).

45**Conclusion:** HIV-infected drinkers in SSA likely underreport both any alcohol consumption and amounts
46consumed suggesting the need to use more objective measures like biomarkers when measuring drinking
47in this population. Although the FGF method may more accurately estimate drinking than QF methods,
48the AUDIT-C and other non-volume measures may provide simpler alternatives.

49**Keywords:** “Self-report measures of alcohol consumption”, “sub-Saharan Africa”, “Fractional Graduated
50Frequency”, “Quantity frequency”, Phosphatidylethanol.

51

52Introduction

53In sub-Saharan Africa (SSA), home to more than 75% of the global HIV-infected population (UNAIDS,
542013), alcohol consumption is common and is among the drivers of the HIV epidemic (Hahn et al., 2011,
55Woolf-King et al., 2013). Unhealthy drinking, a spectrum of alcohol use behaviors ranging from risky
56drinking to alcohol dependence that are associated with varying degrees of risk to health (Saitz, 2005), is
57also common (WHO, 2011). As unhealthy drinking increases risk of non-adherence to HIV treatment
58(Hendershot et al., 2009), its reduction in those with HIV may lead to better HIV treatment outcomes, as
59well as reduced risk of HIV transmission and acquisition (Braithwaite et al., 2014).

60However, significant limitations remain in the measurement of alcohol consumption and the evaluation of
61interventions for unhealthy drinking (Greenfield and Kerr, 2008). Quantifying alcohol consumption is
62particularly difficult in SSA as drinks are not always in standard sizes (Hahn et al., 2010). Also, many
63drinkers consume locally-made alcohols with variable ethanol contents (Mwesigye and Okurut, 1994).
64Whereas self-report is the most common way to assess alcohol intake, increasing evidence suggests
65under-reporting (Hahn et al., 2012b).

66Novel biomarkers may measure alcohol consumption more objectively (Greenfield et al., 2014). In our
67previous study among HIV-infected adults in Uganda, blood concentrations of the alcohol biomarker
68phosphatidylethanol (PEth) ≥ 10 ng/ml had sensitivity of 88% and specificity of 89% for detecting *any*
69alcohol use in the past 21 days, and sensitivity of 76% and specificity of 100% for detecting *any* alcohol
70use in the past 90 days (Hahn et al., 2012a). However, biomarker tests remain expensive and are
71particularly inaccessible in SSA due to weak laboratory infrastructure. The performance of biomarkers
72relative to commonly used measures of self-report such as the World Health Organization (WHO)'s
73Alcohol Use Disorders Identification Test-Consumption (AUDIT-C) (Rubinsky et al., 2013) also remains
74unclear.

75Several self-report measures of drinking obtain information on two dimensions: usual quantity of alcohol
76consumed and typical frequency of drinking. This method, known as quantity frequency (QF), assumes
77that drinkers always take the same alcohol in the same way or are capable of averaging consumption on
78these two dimensions over multiple drinking occasions (Greenfield, 2000, Dawson and Room, 2000). As
79they do not account for infrequent episodes of heavy drinking, a predominant pattern in SSA (Rehm et al.,
802003), QF methods are likely to underestimate alcohol intake in this setting.

81The graduated frequency (GF) method, which captures frequency of drinking at varying quantity levels,
82can capture total volumes consumed more accurately (Wilsnack et al., 2009). However, GF measures are
83difficult to implement in settings where a standard drink is not the norm (Greenfield and Kerr, 2008, Gmel
84et al., 2006). To overcome this challenge, the fractional graduated frequency (FGF) method uses the
85maximum quantity that a drinker consumed on a single occasion to calculate the frequency of consuming
86fixed fractions (100%, 75%, 50% and 25%) of that maximum quantity (Greenfield et al., 2010). This
87method has yielded comparable total volumes as 28-day diaries, a rigorous self-report measure of
88drinking (Greenfield et al., 2009, Greenfield et al., 2010), but has yet to be compared to biomarkers.

89Finally, data are lacking on alternative measures of drinking and/or alternative measurement dimensions.
90As drinkers in SSA commonly consume non-standard drinks and express their drinking in non-volume
91terms (Papas et al., 2010b), domains such as expenditure, time spent drinking, and symptoms of
92intoxication, may provide novel measurement options.

93Among HIV-infected drinkers in SSA, we compared multiple traditional and novel self-report measures of
94alcohol consumption to blood PEth levels. Our analysis had two primary aims. Firstly, we sought to
95compare PEth and the AUDIT-C; we hypothesized that PEth concentration and overall proportions of
96drinkers that are PEth positive would increase across AUDIT-C categories. Secondly, we sought to
97determine whether the FGF measure of grams of alcohol more accurately measures alcohol consumption
98than the QF measure; we hypothesized that FGF estimates would be more highly correlated with blood

99PEth levels than QF estimates. To address the need for alternative self-report measures, we also
100performed a secondary analysis assessing the correlations of simpler non-volume measures and screening
101tools (number of drinking days, expenditures on alcohol, time spent drinking, and symptoms of
102intoxication) with PEth.

103

Methods

Study design, setting and population

105The Biomarker Research of Ethanol Among Those with HIV (BREATH) Study was a mixed methods
106prospective cohort study of HIV-infected adults at the Immune Suppression Syndrome (ISS) Clinic in
107Mbarara, Uganda. The study aimed to quantify changes in alcohol intake and to determine correlates of
108such changes during the first year of HIV care among HIV-infected drinkers. Eligibility criteria were:
109HIV-infected adult (≥ 18 years), newly enrolled into HIV care, not yet initiated on antiretroviral therapy
110(ART), fluent in the local language (Runyankole) or English, and reported any alcohol consumption in the
111past year at their initial clinic visit. Patients who had received prior HIV care or lived more than 60
112kilometers from the clinic were excluded. Clinic counselors screened all new patients for eligibility and
113invited those eligible to participate. Research assistants then consecutively enrolled those meeting
114inclusion criteria and providing written informed consent.

115Enrolled participants were randomized to the main cohort study arm or to a comparison arm in which
116enrollees were minimally assessed during follow-up to see if the degree of assessment affects study
117results (Clifford et al., 2007). Main cohort participants completed interviewer-administered
118questionnaires and provided blood samples at cohort entry and at quarterly visits for one year. As
119drinking by HIV-infected patients is stigmatized in this setting, study staff interviewing patients were
120different from usual clinic staff providing treatment. Data collected from patients for study purposes were
121not shared with clinic staff. The study team explained this procedure to all staff at the clinic and to study
122participants. The single exception was for participants with high AUDIT scores (≥ 20), for whom, with

123their permission, we provided referrals to a mental health counselor for treatment of possible alcohol
124dependence. The BREATH Study protocol was approved by the Institutional Review Committees of
125Mbarara University of Science and Technology (MUST) and the University of California San Francisco
126and the Uganda National Council on Science and Technology.

127Previous reports from the BREATH Study have explored changes in alcohol consumption during HIV
128care (Sundararajan et al., 2014) and a novel scale on alcohol expectancies, that is, how patients in this
129setting expect to benefit from alcohol consumption (Woolf-King et al., 2015). In this report, we
130performed a cross-sectional analysis of participants' cohort entry data specifically to address challenges to
131the measurement of alcohol consumption in this setting.

132*Measurements*

133We collected socio-demographic information such as age, gender, literacy, and income, and all self-
134reported alcohol intake data using an interviewer-administered structured questionnaire. The
135questionnaires were developed in English, translated to the local language (Runyakole), and then back
136translated to English by a language expert to ensure consistency of the translations (WHO, 2015).
137Interviews were conducted in Runyankole or English, depending on the participant's preference. During
138each interview, data were directly entered into a laptop using a computer program called CASIC
139(Computer Assisted Survey Information Collection), which allowed entries in either English or
140Runyankole and facilitated use of complex skip patterns as appropriate.

141*Self-reported alcohol consumption*

142We measured self-reported alcohol consumption in the past 3 months in multiple ways (Table 1),
143including the AUDIT-C, number of drinking days, and beverage-specific FGF and QF grams of alcohol.
144In addition, we adapted FGF and QF methods to create novel non-volume measures of drinking using
145expenditures on alcohol, time spent drinking, and symptoms of intoxication.

146*AUDIT-C*

147We adapted the AUDIT-C questionnaire (categorizing frequency of any alcohol use, quantity of typical
148use, and frequency of taking 6 or more drinks on one occasion) (Bradley et al., 2007) to a reference period
149of the past 3 months. Validation studies of the AUDIT-C have not been conducted in resource-limited
150settings, although it is commonly used (Peltzer et al., 2007). In primary care populations in the US, the
151AUDIT-C identified unhealthy drinkers with a sensitivity of 0.73 and specificity of 0.91 using a cut-off of
152 ≥ 3 for women, and a sensitivity of 0.86 and specificity of 0.89 using a cut-off of ≥ 4 for men (Bradley et
153al., 2007). Among HIV-infected adults also in the US, and using the full 10-item AUDIT as the gold
154standard, the AUDIT-C had a sensitivity of 0.81-0.89 and specificity of 0.91 to 1.0 using a cut-off of 4,
155and sensitivity of 0.94 to 98 and specificity of 0.82 to 0.91 at a cut-off of 3 for detecting unhealthy
156drinking (Strauss and Rindskopf, 2009). We defined a drink as a 140ml glass of 12%-alcohol wine, 40ml
157of hard liquor, or a 360ml bottle or can of beer. To aid participants, we used illustrations of containers in
158which commercial alcoholic drinks are commonly sold in this setting that approximated these volumes.
159We categorized subjects based on their AUDIT-C scores into lower-risk drinkers (score = 1 to 3 for males
160or 1 to 2 for females) and unhealthy drinkers (score ≥ 4 for men or ≥ 3 for women).

161 *Number of drinking days*

162Participants reporting any alcohol consumption in the past 3 months were asked on how many days they
163drank any alcohol, choosing one of six possible responses (every day or nearly every day, 3 to 4 times a
164week, once or twice a week, 2 to 3 times a month, about once a month, or once or twice in the entire 3
165months). We converted these responses to a numeric estimate of drinking days by taking their midpoints.

166 *Drink types*

167Alcohol in Uganda is available as commercially-made or locally-made alcohol. Unlike commercial
168alcohols, which are standardized, local alcohols have variable ethanol contents; local spirits can be highly
169potent (estimated ethanol content = 18 to 53%), while local beers are usually less potent (estimated
170ethanol content = 6 to 11%) (Hahn et al., 2012a, Mwesigye and Okurut, 1994). We grouped alcohols into

171six classes: wine (both local and commercial types are fruit-based); locally brewed beer; commercially
172brewed beer; locally distilled hard liquor or spirits; commercially distilled hard liquor or spirits; and
173communally consumed beverages such as “malwa”. To evaluate if drinking certain alcohol types was
174associated with differences in PEth concentrations, we created two summary variables, the first defining
175those typically drinking only local alcohols versus commercial alcohols versus mixtures the two
176production methods, and the second defining those who reported drinking any spirits versus those who
177reported not taking any spirits (given that spirits in this setting have high ethanol contents we
178hypothesized that those drinking any spirits are likely to be heavier drinkers than those not drinking any
179spirits).

180*Maximum-day and typical-day volumes*

181We defined the “maximum drinking day” as the day when a participant drank their “maximum amount of
182alcohol on a single day”; a “typical day” was one where they drank “the most common amount of alcohol
183consumed on days other than the maximum day”. Participants were asked what drink type(s) they drank
184and its estimated volume on both days. To aid participants, we used a list of typical volumes/containers
185specific to each alcohol type. For example, when interviewing a participant, we began by asking: “on
186your maximum drinking day, which drink type(s) did you consume?” This was then followed by a series
187of questions regarding the quantity of common beverage-specific containers that were consumed. For
188example, if someone reported drinking wine on their maximum day, they were asked how many bottles
189(750 ml) and glasses (140-200 ml) of wine they consumed on that day. The same questions would then be
190asked for a typical drinking day. As such, volumes taken for the maximum drinking day and the typical
191drinking day were obtained for each particular beverage type by multiplying the quantity of drinks
192consumed by the size of each beverage in milliliters.

193*Grams of alcohol on a typical or maximum drinking day*

194We used previously reported estimates of the average ethanol content for each drink type (5% for beers,
19512.5% for wines, and 40% for spirits, all multiplied by a factor of 0.7893 in volume-to-weight
196conversions) (Hahn et al., 2012a) to convert volumes to grams of alcohol. Typical-day grams were the
197sum of the products of typical-day volume for each drink type consumed and the average ethanol content
198for each drink. Maximum-day grams of alcohol were obtained similarly as the maximum-day volume of
199each drink type times the ethanol content of that drink type (Greenfield et al., 2010).

200*Maximum and typical day quantities on the other self-reported domains*

201For both typical and maximum days, participants were asked: how much money they or someone else
202spent on all types of alcohol; how much time they spent drinking; and how they felt after drinking using a
203scale of symptoms of intoxication. This scale includes, in descending order: becoming unconscious or
204stuporous; having difficulty speaking or seeing clearly or walking; having difficulty thinking clearly;
205feeling uninhibited or feeling a false sense of security and confidence; feeling only mild pleasurable
206effects of alcohol; or feeling no effects at all from the alcohol. Participants were asked to choose the
207highest level of symptoms that best described how they felt after consuming alcohol; their answers were
208scored correspondingly from 6 (becoming unconscious) down to 1 (no effects). We have previously used
209variants of this scale to measure alcohol consumption. In young injection drug users in the US, the
210measure correlated favorably with PEth ($\rho = 0.69$) (Jain et al., 2014). However, a simplification of the
211measure had low correlation with PEth ($\rho = 0.24$) in ART-treated HIV-infected patients in Uganda
212(Bajunirwe et al., 2014).

213*The graduated beaker for fractional graduated frequency estimations*

214To collect data on the fractional frequencies required for FGF estimates, we showed participants
215illustrations of four graduated beakers full to different levels (100%, 75%, 50%, and 25%) and asked them
216how often in the past 3 months they had drunk each level (that is, the full amount, about three-quarters, a
217half, and a quarter) in relation to their maximum consumption.

218 *Quantity frequency and fractional graduated frequency grams of alcohol*

219 We calculated QF grams of alcohol over the past 3 months as the total typical-day grams (the sum of
220 grams for each drink type) times the total number of drinking days; this is a beverage-specific estimate,
221 hence an adaptation of the standard QF method (Rehm, 1998, Heeb and Gmel, 2005). To calculate FGF
222 grams of alcohol, the total grams of alcohol consumed on a maximum drinking day were used; these
223 estimates were also beverage-specific. The total grams consumed on a maximum day were multiplied by
224 each fraction (1.0, 0.75, 0.5, 0.25) and the number of days that the fraction was consumed; these products
225 were summed into a total over the 3 past months (Greenfield et al., 2010).

226 *Adaptation of quantity frequency and fractional graduated frequency methods to non-volume domains*

227 We adapted QF and FGF methods to expenditure on alcohol, time spent drinking, and symptoms of
228 intoxication as follows. For QF estimates, the typical-day measure for each domain (for example,
229 expenditure, time spent drinking) was multiplied by the total number of drinking days in the past 3
230 months (Table 1). For FGF estimates, the maximum day measure for each domain was multiplied by the
231 frequencies of drinking at maximum and step down fractions and by the respective fractions (1.0, 0.75,
232 0.5, 0.25). The resulting estimates were then summed for each domain into a total for the past 3 months.

233 *Laboratory measurements*

234 *PEth*

235 PEth is a phospholipid derivative of ethanol metabolism, formed only in the presence of ethanol, which
236 may be present in whole blood for at least 3 weeks after alcohol intake (Aradottir et al., 2006, Hansson et
237 al., 1997). It has a biological specificity close to 100% for recent alcohol use and detects excessive
238 drinking in outpatients with sensitivity of up to 98% (Varga et al., 2000, Isaksson et al., 2011). To
239 measure PEth, venous blood samples were collected from patients by clinic staff and transferred to dried
240 blood spots (DBS) on the same day by laboratory staff. The DBS cards were then stored at -80°C with a
241 small amount of desiccant until shipping. The samples were shipped at room temperature to a

242commercial laboratory (US Drug Testing Laboratories, Des Plaines, Illinois) and tested using liquid
243chromatography with tandem mass spectrometry (LC-MS) (Jones et al., 2011). Samples were defined as
244positive if PEth concentration was above the current limit of quantification (≥ 8 ng/ml). Following the
245laboratory's standard operating procedures, positive samples were re-run for two batches of DBS cards
246(97 samples collected between July 2011 and October 2012 and between July 2013 and September 2013),
247with the final result being reported as an average of the two results. Positive PEth assays run between
248October 2012 and July 2013 were not re-run per the laboratory's standard operating procedures during
249this time. However, among the 97 retested samples, correlations between first and second runs were high
250(Spearman's rank correlation coefficient = 0.94).

251*Other laboratory tests*

252Additional tests included CD4+ T-cell counts (Coulter Epics XL.MCL Cytometer, Beckman Coulter,
253Brea, California) and plasma HIV RNA level (Bayer System 340 bDNA analyzer, Bayer Healthcare
254Corporation, Whippany, New Jersey). These were performed at the MUST Clinical Research Laboratory,
255which participates in external quality assurance by the National Health Laboratory Service (Johannesburg,
256South Africa).

257*Analysis*

258We summarized participant characteristics as appropriate. PEth results are presented as medians with
259inter-quartile range (IQR) and as the proportion above the limit of quantification (≥ 8 ng/ml) by AUDIT-C
260categories, overall, and among only the self-reported drinkers. We compared PEth concentrations across
261AUDIT-C categories. We also assessed if PEth concentrations varied by gender and drink type. We
262tested whether any differences in PEth concentrations in these variables were statistically significant using
263non-parametric tests of equality of medians (the Wilcoxon rank-sum test for 2-category comparisons, and
264the Kruskal-Wallis equality of populations test for 3-category comparisons); we used chi-squared tests to
265compare proportions that were PEth positive across these same groups. To evaluate associations between

266measures of self-reported alcohol consumption and PEth, we calculated Spearman’s rank correlation
267coefficients and 95% confidence intervals (CI) between each self-report measure and PEth; we
268determined whether observed associations differed by measure using 95% bias-corrected bootstrap CIs
269(based on 1000 bootstrap samples) for pairwise differences in correlation coefficients (95% CIs excluding
270zero were judged as providing evidence of a significant difference). We analyzed only those subjects with
271complete information; missing values were few (the highest number in any variable was 17). All analyses
272were performed in STATA 13 (College Station, Texas).

273

Results

274General characteristics of the study population

275From July 2011 through September 2013, clinic counselors screened 3747 new patients; 621 were eligible
276for the study (Figure). Sixty-one percent of those eligible (n=381) provided informed consent to
277participate. Enrolled patients were similar by gender (55% male) to those who were eligible but declined
278to participate (53% male, p=0.59). Of the 381 consenting, 213 were randomized to the main BREATH
279cohort (4 were later found to be ineligible, leaving 209 for analysis); 168 were randomized to the
280comparison cohort examining assessment reactivity. For the 209 participants analyzed for this report,
281median values were: age 30 (IQR 25 to 38); time since HIV diagnosis 0.3 months (IQR 0.1 to 1.3); CD4+
282T-cell count 349 (IQR 221 to 535); and plasma HIV RNA level 1.6×10^4 copies/ml (IQR 0.34 to 8.4)
283(Table 2).

284Drinking patterns and quantity estimates

285By self-report, nearly half of the participants (45%) were unhealthy drinkers in the past 3 months. Among
286all self-reported drinkers (n = 169), the majority (77%) drank from bars and typically drank commercial
287beer (66%). In general, the FGF method yielded higher estimates than the QF method (Table 2). For
288example, median FGF grams of alcohol over 90 days was 592 (IQR 43 to 2137), which was higher
289(p<0.001) than 375 (IQR 33 to 1776), the median QF grams of alcohol.

290 *PEth values*

291 The median PEth concentration for the entire sample was 57 ng/ml (IQR 0 to 221). PEth concentrations
292 increased across AUDIT-C categories (for example median concentration was 32 ng/ml, IQR 0-133, in all
293 low-risk drinkers versus 133 ng/ml, IQR 46-412, in all high risk drinkers, $P < 0.001$). Also, proportions
294 that were PEth positive increased across AUDIT-C categories (for example 68% in all low-risk drinkers
295 versus 90% in all high-risk drinkers, $P < 0.001$) (Table 3). PEth concentrations were higher in males
296 (median = 112 ng/ml, IQR 15-326) compared to females (median = 19 ng/ml, IQR 0-84, $P < 0.001$).
297 Among self-reported drinkers, those drinking any spirits had higher PEth concentrations (median = 156
298 ng/ml, IQR 21-411) than those not drinking any spirits (median = 57 ng/ml, IQR 15-148, $P = 0.0029$);
299 those drinking locally-made alcohols also had higher PEth concentrations. For example, median PEth
300 concentration was 217 ng/ml, IQR 26-440, in those drinking only locally-made alcohols versus 60 ng/ml,
301 IQR 13-170, $P = 0.0146$, for those drinking only commercial alcohols.

302 *Correlation of self-reported grams of alcohol with PEth*

303 Both FGF grams ($\rho = 0.58$, 95% CI 0.47-0.66) and QF grams ($\rho = 0.54$, 95% CI 0.43-0.63) of alcohol
304 were only moderately correlated with PEth concentration; the difference between the correlation
305 coefficients was not statistically significant (95% CI of estimated difference = -0.017 to 0.099).
306 Restricting the analysis to current (past 3 months) drinkers did not improve correlations with PEth: $\rho =$
307 0.48, 95% CI 0.35 to 0.59 for FGF grams versus $\rho = 0.44$, 95% CI 0.30 to 0.55 for QF grams; the
308 difference between these coefficients was also not statistically significant (95% CI of the difference =
309 -0.046 to 0.144) (Table 4).

310 *Correlation of other measures of alcohol consumption with PEth*

311 Among the non-volume measures, only expenditure on alcohol (ρ for FGF expenditure = 0.52, 95% CI
312 0.40 to 0.61) had a lower correlation with PEth than FGF grams of alcohol (95% CI for the difference =
313 0.009 to 0.12); symptoms of intoxication and time spent drinking had similar correlations with PEth as

314was grams of alcohol. For all measures, any differences correlations with PEth between FGF and QF
315measures were not statistically significant. The correlation of AUDIT-C with PEth ($\rho = 0.57$, 95% 0.47
316to 0.65 overall) was similar to the correlation of FGF grams of alcohol with PEth (95% of estimated
317difference = -0.078 to 0.069, not statistically significant) (Table 4).

318

Discussion

319In SSA, novel methods may improve measurement of alcohol consumption. Among ART-naive HIV-
320infected adults, we assessed correlations of multiple self-report measures of alcohol consumption with the
321alcohol biomarker PEth. The correlations were moderate ($\rho = 0.44$ to 0.58) and lower than those
322observed in our prior study (0.65 to 0.74), which aimed to characterize PEth (Hahn et al., 2012a), and
323were not improved by restriction to self-reported past 3 months drinkers. We interpret these findings to
324mean that HIV-infected drinkers in this setting under-report both any alcohol intake and amounts
325consumed. Our findings highlight the need for increased use of objective measures such as biomarkers
326(Greenfield et al., 2014) to determine and quantify alcohol intake in this setting.

327As both under-reporting and over-reporting are possible, self-reports may under-estimate (Hahn et al.,
3282012b, Bajunirwe et al., 2014) or over-estimate (Gmel et al., 2006) true alcohol consumption. In our data,
329FGF estimates were higher than QF ones. However, since both measures were only moderately correlated
330with PEth, we suspect the moderate correlations to be due to underreporting. In our previous study where
331we found higher correlations with PEth, self-reports had been corroborated by daily home or drinking
332establishment visits during which we carried out drinking surveys and breathalyzer tests and interviewed
333friends/relatives of the study participants to obtain a collateral report of the participant's drinking (Hahn et
334al., 2012a). Aware of such additional measures, patients may have reported more truthfully.

335Under-reporting is common in populations where drinking is prohibited, among HIV-infected patients
336(Bilal et al., 1990, Hormes et al., 2012), and in SSA (Michalak and Trocki, 2009). New HIV patients are
337especially likely to under-report drinking in fear of being denied ART (Sorsdahl et al., 2012, Papas et al.,

3382012). In our study, 25% of those self-reporting as current abstainers were PEth-positive; they were all
339male, consistent with prior findings of underreport by males starting ART in Uganda (Bajunirwe et al.,
3402014). Using shorter reference periods such as 21 or 30 days can aid recall (Ekholm et al., 2011) and
341possibly improve correlations (Bajunirwe et al., 2014). However, shorter reference periods can also
342reduce sensitivity of self-reports when drinking patterns are irregular (Rehm et al., 1999).

343While these findings suggest that more objective measures such as biomarkers should be used to measure
344drinking in these patients, alcohol biomarkers like PEth remain inaccessible in resource-limited settings in
345terms of both cost and technology. Development of less expensive and/or simpler assays is required.
346Also, attempts should be made to improve self-reports. For example, approaches such as the Audio-
347guided Computer-Assisted Self-Interview (Simoes et al., 2006) which use technology to obtain self-
348reports of drinking should be considered. Low computer/technology literacy in this setting may affect the
349utility of such interventions. However, these interventions may reduce the pressure on patients to give
350socially desirable drinking reports.

351FGF estimates were consistently higher than QF estimates. This is consistent with the hypothesis that
352FGF methods more accurately estimate consumption when drinking patterns are irregular (Greenfield,
3532000, Greenfield et al., 2009, Greenfield et al., 2010, Rehm et al., 2003). Also, QF approaches may be
354less accurate when heavy drinking is stigmatized; patients may try to “normalize” high levels of
355consumption via underreporting in response to questions about “typical intake” (Greenfield and Kerr,
3562008).

357We found non-volume measures of drinking such as time spent drinking and a scale of symptoms of
358intoxication, as well as the AUDIT-C, to have similar correlations with PEth as FGF and QF measures of
359grams of alcohol. As they are substantially easier to calculate than the beverage-specific grams of
360alcohol, these measures may provide a simpler alternative to measuring drinking in this setting. Non-
361volume measures also may aid recall; heavy drinkers can forget volumes (Northcote and Livingston,

3622011), but may, in theory, be more likely to remember their expenditure (Papas et al., 2010a) or degree of
363intoxication. In particular, the AUDIT-C, FGF grams of alcohol, and QF grams of alcohol had similar
364correlations with PEth. Given that FGF and QF grams of alcohol were more rigorous and were beverage-
365type adjusted to account for the lack of standard drinks in this setting, this finding suggests the robustness
366of the AUDIT-C measure.

367Asking about specific drink types when measuring drinking can increase the accuracy of volume
368estimations (Feunekes et al., 1999, Greenfield et al., 2010). In our data, a drink-type-adjusted QF
369measure of grams of alcohol correlated similarly with PEth as the FGF measure. This finding suggests
370that drink type information may improve measure performance in this setting. We also observed that
371patients who drank locally-made alcohols (versus commercially-made alcohols) and those who drank any
372spirits (versus not drinking any spirits) had higher PEth concentrations, suggesting that drink type may
373independently predict unhealthy drinking and/or alcohol-associated clinical outcomes (Razvodovsky,
3742015).

375Our findings have some limitations. PEth is not a perfect gold-standard. For example, 10% of self-
376reported unhealthy drinkers were PEth-negative, consistent with previously reported estimates of PEth
377sensitivity for measuring unhealthy drinking (61-91%) (Hahn et al., 2012a, Stewart et al., 2014, Stewart et
378al., 2010). Also, 25% of abstainers were PEth-positive; these however are likely to have under-reported.
379In theory, PEth only forms in presence of ethanol and has near-perfect specificity (Aradottir et al., 2006).
380A remote possibility is that positive tests could result from over-the-counter medications containing
381ethanol such as cough syrup. This possibility, a common source of controversy in failed drug tests
382(Skipper et al., 2013), has not been investigated in relation to PEth, and PEth is usually detectable only
383with high amounts of alcohol that are unlikely to be in these over-the-counter products. Our estimates of
384grams of alcohol also are based on average ethanol contents; yet substantial variations may exist,
385especially in the locally-made alcohols. Finally, as drinks are not always standard in this setting, our

386AUDIT-C estimates may be less accurate than those among patients in resource-rich settings. However,
387despite this limitation, the correlation of AUDIT-C estimates with PEth was similar to the correlation of
388FGF and QF grams of alcohol with PEth suggesting robustness of the AUDIT-C even in settings where
389drinks are not easily standardized.

390Our findings apply mainly to HIV-infected persons since they are more likely to underreport alcohol
391consumption in fear of being denied services such as ART. However, we expect our findings to be
392applicable to other groups such as adolescents where drinking may also be stigmatized and/or prohibited.
393The strength of our study is that we focus on the HIV-infected, especially those drinking at less than
394dependent levels. Compared to their HIV-negative counterparts, HIV-infected, less-than-dependent-
395drinkers are more accessible via structured HIV treatment programs. Interventions in this group may be
396integrated into routine HIV care and may reduce overall risk of HIV transmission. As heavy drinking is
397an important comorbidity in HIV-infected patients, interventions to reduce drinking may also improve
398HIV treatment outcomes. It is therefore important that alcohol consumption be measured more accurately
399in this population.

400In conclusion, among HIV-infected past year drinkers in Uganda, multiple self-report measures of alcohol
401intake were only moderately correlated with the alcohol biomarker PEth. Our findings suggest the need
402for increased use of objective measures like biomarkers to measure alcohol consumption in this setting
403and, as biomarker tests are expensive and inaccessible, the development of less expensive and simpler
404assays. Existing self-report measures of drinking also may be improved using FGF methods, simpler
405and/or non-volume measures, or interventions/technologies that can reduce socially-desirable reporting.
406Future studies should assess how different measures of drinking predict clinical outcomes in this setting.
407Intervention studies may also attempt to directly reduce underreporting for example via alternative
408methods of reporting like self-administered surveys.

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410 **Author contributions**

411 SBA, JH, and RF, conceptualized the study, prepared and analyzed the data, and wrote the manuscript;
412 SBA led the study. GS and TKG conceptualized the study, wrote and edited the manuscript, and TKG
413 advised on measure selection. NE, EK, and WM collected and prepared the data and wrote an edited the
414 manuscript. All authors provided important feedback on the manuscript and approved its final version.

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418

419 **Conflicts of interest**

420 The authors have no conflicts of interest to declare.

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562**Figure legend**

563**Figure.** Enrollment flow diagram for the BREATH Cohort study (July 2011 to September 2013) of HIV-
564infected adults, who were newly enrolled into care (not yet initiated on antiretroviral therapy) at the
565Immune Suppression Syndrome Clinic in Mbarara, Uganda.

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586 **Table 1.** Traditional and novel self-reported measures of drinking used in the study and how they were
587 implemented

Name of measure	Summary of how the measure was obtained	Beverage-type adjustment
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AUDIT-C	Explanation of definition of a standard drink (using commercial quantities in this setting); followed by the three standard AUDIT-C questions (frequency of drinking; number of drinks on a typical drinking day; and frequency of ≥ 6 drinks on one occasion).	No
Number of drinking days	Those reporting any drinking chose a frequency from: daily/nearly daily, 3 to 4 times a week, once or twice a week, 2 to 3 times a month, about once a month, or once or twice in the entire 3 months; number of drinking days calculated using midpoint of chosen frequency; for example, 2 to 3 times per month = 2.5 times 3 months = 7.5 days.	No
FGF grams of alcohol	For each drink type; maximum-day* grams of alcohol consumed times a graduated beaker fraction (representing 100% of a maximum day, 75%, 50%, 25%) times the frequency of consuming that fraction in past 3 months; resulting beverage-specific quantities summed into a total.	Yes
QF grams of alcohol	For each drink type; typical-day [†] grams of alcohol consumed times number of drinking days in past 3 months; resulting beverage-specific quantities summed into a total.	Yes
FGF time spent drinking	Time spent drinking on a maximum day times a graduated beaker fraction times the frequency of drinking at that fraction in past 3 months; resulting quantities per fraction summed into a total.	No
QF time spent drinking	Time spent drinking on a typical day times number of drinking days in past 3 months.	No
FGF symptoms of intoxication	Symptoms of intoxication [‡] (score) on a maximum day times a graduated beaker fraction times the frequency of drinking at that fraction; the resulting quantities per fraction were summed into a total.	No
QF symptoms of intoxication	Symptoms of intoxication (score) on a typical day times number of drinking days in past 3 months.	No
FGF expenditure on alcohol	Expenditure on alcohol on a maximum day times a graduated beaker fraction times the frequency of drinking at that fraction in past 3 months; resulting quantities per fraction were summed into a total.	No
QF expenditure on alcohol	Expenditure on alcohol on a typical day times number of drinking days in past 3 months.	No

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589AUDIT-C: Alcohol Use Disorders Identification Test Consumption, QF: Quantity Frequency, FGF: Fractional Graduated

590Frequency,

591* Maximum day grams of alcohol = a beverage specific estimate for heaviest drinking day in prior 3 months (calculated, for

592each drink type reported on a maximum drinking day, according to setting-specific containers/volumes and estimated ethanol

593content for that drink type).

594[†] Typical-day grams = a beverage specific estimate for a typical drinking day in prior 3 months (calculated, for each drink type
595 reported for a typical drinking day, according to setting-specific containers/volumes and estimated ethanol content for that
596 drink type).

597[‡] Symptoms of intoxication = a description of how a participant felt after drinking alcohol choosing from: becoming
598 unconscious or stuporous; having difficulty speaking or seeing clearly or walking; having difficulty thinking clearly; feeling
599 uninhibited or feeling a false sense of security and confidence; feeling only mild pleasurable effects of alcohol; or feeling no
600 effects at all from the alcohol. The response is scored from 6 (becoming unconscious) down to 1 (no effects).

601**Table 2.** Personal characteristics and drinking patterns of the 209 study participants

Characteristic	
<i>Demographic and socioeconomic information</i>	
Sex male, n (%)	120 (57%)
Age, median (IQR)	30 (25 to 38)
BMI, median (IQR)	22 (20-24)
Literacy, n (%)	
Cannot read at all	21 (10%)
Reads parts of sentence	24 (12%)
Reads whole sentence	161 (77%)
Not assessed	3 (1.4%)
Monthly income in USD, median (IQR)	40 (20-80)
Time in months since HIV diagnosis, median (IQR)	0.3 (0.1-1.3)
<i>Drinking behavior among drinkers, n=169, n(%)</i>	
Usual drinking place	
Home	39 (23%)
Bar	130 (77%)
Work	5 (3.0%)
Drinking companion	
Drinks with friends	124 (77%)
Drinks alone	20 (12%)
Drinks with spouse	21 (13%)
Typical alcohol production type*	
Commercial alcohol only	111 (66%)
Local alcohol only	36 (21%)
Both types	22 (13%)
Consumption of spirits [†]	
Drank any spirits	69 (41%)
Did not drink any spirits	100 (59%)
Frequency of alcohol consumption in the last 3 months, n (%)	
No alcohol	40 (19%)
Monthly or less	58 (28%)
2-4 times/month	30 (14%)
2-3 times/week	57 (27%)
4+ times a week	24 (12%)
Number of drinking days in the past 3 months, median (IQR)	
AUDIT-C score, median (IQR)	3 (1-4)
AUDIT-C-score risk categories, n (%)	
Unhealthy drinkers	93 (45%)
Lower-risk drinkers	76 (36%)
Abstainers	40 (19%)
<i>Self-report alcohol quantities, in past 3 months, median (IQR)</i>	

Grams of alcohol	
Grams on a typical drinking day	41(20-79)
Grams on maximum drinking days	59 (20-99)
Total grams by the FGF method	592 (43-2137)
Total grams by the QF method	375 (33-1776)
Expenditure on alcohol (\$), median (IQR)	
Maximum-day expenditure on any alcohol	2 (0.72-4)
Typical-day-expenditure on any alcohol	1.8(0.56-3)
Total expenditure on alcohol by the FGF method	19 (2.1-65)
Total expenditure by the QF method	14 (1.8-57)
Sum of intoxication symptoms, median (IQR)	
FGF method	19 (3-64)
QF method	15 (1.5-57)
Total time spent drinking, hours, median (IQR)	
FGF method	19 (2.0-74)
QF method	9.5 (0.75-38)

Laboratory measurements

CD4+ T-cell counts, median (IQR)	349 (221-535)
Plasma HIV RNA PCR level , IU/ml x 10 ⁴ , median (IQR)	1.6 (0.34-8.4)
PEth results, ng/ml, median (IQR)	57 (0-211)

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604AUDIT-C: alcohol use disorders identification test-consumption, FGF: Fractional graduated frequency,

605IQR: interquartile range, QF: Quantity Frequency, PEth: phosphatidyl ethanol

606* Refers to whether or not the alcohol typically drank was commercially produced or locally produced

607irrespective of whether the drink was considered a spirit, a beer, or a wine.

608[†] Refers to whether or not participants reported drinking any spirits.

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627**Table 3.** PEth levels and proportions with detectable PEth by AUDIT-C categories in the full sample and
628in subgroups defined by gender and drink type

	PEth concentration, ng/ml, median (IQR)	Proportion PEth- positive
<i>Full sample (n=209)</i>		
All subjects	57 (0-211)	70%
No drinking in past 3 months	0 (0-8.5)	25%
Low risk drinkers	32 (0-133)	68%
Unhealthy drinkers	133 (46-412)	90%
<i>Females only(n=89)</i>		
All females	19 (0-84)	56%
No drinking in past 3 months	0 (0-0)	0%
Low risk drinkers	16 (0-68)	57%
Unhealthy drinkers	82 (32-170)	89%
<i>Males only (n=120)</i>		
All males	112 (15-326)	80%
No drinking in past 3 months	15 (0-113)	59%
Low risk drinkers	63 (7.5-187)	75%
Unhealthy drinkers	257 (71-554)	91%
<i>Stratified by beverage production and type (drinkers only)</i>		
Beverage production type		
Locally-made alcohol only drinkers (n=36)	217 (26-440)	83%
Commercially made alcohol only drinkers (n=111)	60 (13-170)	78%
Both types	82 (57-304)	86%
Consumption of spirits		
Drank any spirits (n=69)	156 (21-411)	86%
Did not drink any spirits (n=100)	57 (15-148)	77%

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632**Table 4.** Spearman’s rank correlation coefficients of FGF and QF self-report measures of alcohol intake
633with PEth concentration overall, and among current drinkers only

Measure*	Full Sample (n=209)		Self-reported drinkers (n=169)	
	PEth concentration		PEth concentration	
	rho	95% CI	rho	95% CI
Grams of alcohol				
FGF	0.58	0.47-0.66	0.48	0.35-0.59
QF-BS	0.54	0.43-0.63	0.44	0.30-0.55
Expenditure on alcohol				
FGF	0.52	0.40-0.61	0.37	0.22-0.50
QF	0.44	0.32-0.55	0.25	0.10-0.39
Intoxication				
FGF	0.56	0.46-0.65	0.45	0.32-0.57
QF	0.49	0.38-0.57	0.35	0.21-0.48
Time drinking				
FGF	0.54	0.43-0.63	0.43	0.29-0.55
QF	0.50	0.39-0.59	0.37	0.23-0.50
Number of drinking days	0.49	0.38-0.59	0.36	0.22-0.49
AUDIT-C score	0.57	0.47-0.65	0.48	0.35-0.59

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635FGF: Fractional graduated frequency, QF: Quantity frequency

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643 **Table Legends**

644 **Table 1.** Traditional and novel self-reported measures of drinking used in the study and how they were
645 implemented. The table shows the methods used to measure drinking in this study and summarizes how
646 each method was implemented.

647 **Table 2.** Personal characteristics and drinking patterns of 209 subjects who were interviewed at entry into
648 the BREATH Cohort study (July 2011-September 2013). Participants were HIV-infected adults newly
649 enrolled into care (and not yet on antiretroviral therapy) at the Immune Suppression Syndrome Clinic in
650 Mbarara, Uganda

651 **Table 3.** PEth levels and proportions with detectable PEth at cohort entry, presented overall, and by
652 drinker- and drink-types in 209 enrollees in the BREATH Cohort study (July 2011-September 2013). The
653 table show median PEth levels and interquartile ranges and proportions that were PEth positive for
654 participants grouped according to their characteristics. Participants were HIV-infected adults, newly
655 enrolled into care (and not yet on antiretroviral therapy) at the Immune Suppression Syndrome Clinic in
656 Mbarara, Uganda.

657 **Table 4.** Spearman's rank correlation coefficients and 95% confidence intervals (CI) between self-report
658 measures of drinking and PEth concentration overall, and among current drinkers only, for 209 HIV-
659 infected adults, who participated in the BREATH Cohort study (July 2011-September 2013) at the
660 Immune Suppression Syndrome Clinic in Mbarara, Uganda. The table shows coefficients and 95% CIs
661 for the correlation of FGF measures, QF measures, and two screeners, that is, AUDIT-C and number of
662 drinking days with PEth.

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