



Mishra, S., Boily, M-C., Schwartz, S., Beyrer, C., Blanchard, J. F., Moses, S., ... Baral, S. D. (2016). Data and methods to characterize the role of sex work and to inform sex work programmes in generalized HIV epidemics: evidence to challenge assumptions. *Annals of Epidemiology*, 26(8), 557-569. <https://doi.org/10.1016/j.annepidem.2016.06.004>

Peer reviewed version

License (if available):  
CC BY-NC-ND

Link to published version (if available):  
[10.1016/j.annepidem.2016.06.004](https://doi.org/10.1016/j.annepidem.2016.06.004)

[Link to publication record in Explore Bristol Research](#)  
PDF-document

This is the author accepted manuscript (AAM). The final published version (version of record) is available online via Elsevier at <http://www.sciencedirect.com/science/article/pii/S1047279716301636> . Please refer to any applicable terms of use of the publisher.

## University of Bristol - Explore Bristol Research

### General rights

This document is made available in accordance with publisher policies. Please cite only the published version using the reference above. Full terms of use are available:  
<http://www.bristol.ac.uk/pure/about/ebr-terms>

1 **Data and methods to characterize the role of sex work and to inform sex work programmes**  
2 **in generalized HIV epidemics: evidence to challenge assumptions**

3  
4 Sharmistha Mishra<sup>1,2</sup>, Marie-Claude Boily<sup>2\*</sup>, Sheree Schwartz<sup>3\*</sup>, Chris Beyrer<sup>3</sup>, James F.  
5 Blanchard<sup>4\*</sup>, Stephen Moses<sup>4\*</sup>, Delivette Castor<sup>5</sup>, Nancy Phaswana-Mafuya<sup>6</sup>, Peter Vickerman<sup>7</sup>,  
6 Fatou Drame<sup>8</sup>, Michel Alary<sup>9</sup>, Stefan D. Baral<sup>3</sup>

7 **Institutions**

8 1 – Division of Infectious Diseases, Department of Medicine, St. Michael’s Hospital, Li Ka  
9 Shing Knowledge Institute, University of Toronto, Toronto, Ontario

10 2– Department of Infectious Disease Epidemiology, Imperial College, London, United Kingdom

11 3 – Center for Public Health and Human Rights, Department of Epidemiology, Johns Hopkins  
12 School of Public Health, Baltimore, MD, USA

13 4 – Centre for Global Public Health, Department of Community Health Sciences, University of  
14 Manitoba, Winnipeg, Manitoba, Canada

15 5 - United States Agency for International Development, Washington, DC, USA

16 6 – HIV/AIDS, STI, and Tuberculosis Department, Human Sciences Research Council, Port  
17 Elizabeth, South Africa

18 7 - Bristol University, Bristol, United Kingdom

19 8 - Université Gaston-Berger, St. Louis, Senegal

20 9 – Centre de recherche du CHU de Québec – Université Laval, Québec, Québec, Canada

21 \*Authors contributed equally

22 **Email Addresses**

23 Sharmistha Mishra [sharmistha.mishra@utoronto.ca](mailto:sharmistha.mishra@utoronto.ca)

24 Marie Claude Boily - [marieclaire.boily@gmail.com](mailto:marieclaire.boily@gmail.com)

25 Sheree Schwartz ([sschwartz@jhsph.edu](mailto:sschwartz@jhsph.edu))

26 Chris Beyrer ([cbeyrer@jhu.edu](mailto:cbeyrer@jhu.edu))

27 James F Blanchard [James.Blanchard@med.umanitoba.ca](mailto:James.Blanchard@med.umanitoba.ca)

28 Stephen Moses [Stephen.Moses@med.umanitoba.ca](mailto:Stephen.Moses@med.umanitoba.ca)

29 Delivette Castor [dcastor@usaid.gov](mailto:dcastor@usaid.gov)

30 Nancy Phaswana-Mafuya [nphaswanamafuya@hsrc.ac.za](mailto:nphaswanamafuya@hsrc.ac.za)

31 Peter Vickerman [Peter.Vickerman@bristol.ac.uk](mailto:Peter.Vickerman@bristol.ac.uk)

32 Fatou Maria DRAME [amadrameh@yahoo.fr](mailto:amadrameh@yahoo.fr)

33 Michel Alary - [malary@uresp.ulaval.ca](mailto:malary@uresp.ulaval.ca)

34 Stefan Baral – [sbaral@jhu.edu](mailto:sbaral@jhu.edu)

35 Corresponding Author: Stefan D. Baral, Key Populations Programs, Center for Public Health and Human  
36 Rights, Department of Epidemiology, E7146, 615 N. Wolfe Street, Johns Hopkins School of Public Health,  
37 Baltimore, MD, 21205, USA

38 Word Count: 4,415 words, Tables 5, Box 1

39 **Acknowledgements**

40 We thank Branwen Owen (Imperial College London) for providing data. We thank members of  
41 the KEYPOP partnership hosted at Imperial College for informing the development of this  
42 manuscript. SMi is supported by a Canadian Institutes of Health Research and Ontario HIV  
43 Treatment Network New Investigator Award, and the research is supported by a Canadian  
44 Institutes of Health Research (FDN 143266) CB and SB receive support from the Johns Hopkins  
45 University Center for AIDS Research, an NIH funded program (P30AI094189), which is

1 supported by the following NIH Co-Funding and Participating Institutes and Centers: NIAID,  
2 NCI, NICHD, NHLBI, NIDA, NIMH, NIA, FIC, NIGMS, NIDDK, and OAR. The content is  
3 solely the responsibility of the authors and does not necessarily represent the official views of the  
4 NIH.

5 **Financial Disclosure**

6 No funding was received for this work and the authors have no financial disclosures to declare.

7 **Author contributions**

8 SB conceived of the paper and provided leadership throughout the review and writing. SM and  
9 SB wrote the manuscript. SM conducted the data syntheses. SB, SM, MCB, SS, JFB, and SM  
10 developed and designed the paper and provided critical intellectual input, ideas, edits, data  
11 synthesis, and writing. All authors contributed significantly to the ideas expressed in the  
12 manuscript and edited the manuscript.

1 **Summary**

2 In the context of generalized HIV epidemics, there has been limited recent investment in HIV  
3 surveillance and prevention programming for key populations including female sex workers  
4 (FSWs). Often implicit in the decision to limit investment in these epidemic settings are  
5 assumptions including that commercial sex is not significant to the sustained transmission of  
6 HIV, and HIV interventions designed to reach ‘all segments of society’ will reach FSWs and  
7 clients. Emerging empiric and model-based evidence is challenging these assumptions. This  
8 paper highlights the frameworks and estimates used to characterize the role of sex work in HIV  
9 epidemics as well as the relevant empiric data landscape on sex work in generalized HIV  
10 epidemics and their strengths and limitations. Traditional approaches to estimate the  
11 contribution of sex work to HIV epidemics do not capture the potential for upstream and  
12 downstream sexual and vertical HIV transmission. Emerging approaches such as the  
13 transmission population attributable fraction from dynamic mathematical models can address this  
14 gap. To move forward, the HIV scientific community must begin by replacing assumptions about  
15 the epidemiology of generalized HIV epidemics with data and more appropriate methods of  
16 estimating the contribution of unprotected sex in the context of sex work.

17

18

19

20

21

22

23

24

25

26

27

28

29

## 1 **Characterizing the Role of Sex Work in Generalized HIV Epidemics**

2 Early in the HIV pandemic, HIV surveillance and prevention focused on high risk, and high  
3 burden populations including female sex workers (FSWs), men who have sex with men (MSM)  
4 and people who inject drugs (PWID) [1-3]. However, for the last 15 years, the total and relative  
5 investments in HIV surveillance and programmatic efforts for FSWs declined markedly in many  
6 countries with generalized HIV epidemics, especially across Sub-Saharan Africa (SSA)[4].  
7 National expenditure data on HIV suggest that in 17 SSA countries reporting HIV expenditure  
8 data after 2007, a median of 0.35% (range, 0.0 to 3.3%) of HIV prevention budgets were  
9 allocated to HIV prevention for FSWs and clients [5], and 17 of 22 countries estimated that  
10 between 0.01 to 3.1% of HIV funding including HIV care expenditure benefits FSWs and clients  
11 [5]. There are also few biological and behavioral data on Key Populations (KPs) in generalized  
12 HIV epidemics due to challenges in their representative sampling via traditional surveillance  
13 systems [6]. This has limited our understanding of KPs, and of their vulnerabilities to HIV, in  
14 most generalized HIV epidemics – and limits comprehensive HIV prevention, treatment, and  
15 care responses.[7, 8] While we focus here on female sex work, these issues have relevance for  
16 other KP in generalized HIV epidemics.

17 The role of sex work in HIV epidemics refers to the extent to which unprotected sex in the  
18 context of sex work leads to new HIV infections in a given region. Region-specific knowledge  
19 on the role of sex work can inform the design of HIV prevention programs to ensure that they  
20 meet the needs of those most vulnerable for HIV acquisition and transmission; achieve maximal  
21 and sustained HIV prevention benefits at population-levels; optimize resource allocation; and  
22 help reduce inequities in the HIV care continuum (Box 1). Appropriately characterizing the role  
23 of sex work in Benin [9], for example, resulted in increases in protective behaviors and  
24 reductions in HIV incidence and prevalence among FSWs [10], with important impacts on the  
25 wider population[11-13].

26 Optimizing the preventive potential of different combinations of behavioural, biomedical, and  
27 structural interventions raises questions about their mix, delivery, and models of implementation  
28 to optimize health benefits at affordable costs [14]. Chief among these questions is whether, and  
29 to what extent, focused HIV programmes are needed for FSWs and clients. Yet often implicit  
30 within generalized epidemic responses are assumptions that (1) sex work is no longer significant  
31 to the sustained transmission of HIV, and (2) HIV interventions designed to reach ‘all segments  
32 of society’ will reach FSWs and clients [15]. Emerging empiric and model-based evidence is  
33 challenging these assumptions. This paper draws on systematic reviews and highlights the  
34 current frameworks and estimates of the role of sex work in HIV epidemics; and the relevant  
35 empiric data landscape and its strengths and limitations.

36

## 37 **Frameworks for Characterizing the Role of Sex Work in HIV Epidemics**

38 Five frameworks have been used to estimate the contribution of sex work to overall HIV  
39 transmission (Table 1). Traditional approaches include the numerical proxy [15], the UNAIDS  
40 HIV Modes of Transmission (MOT) models [16], and the classic population attributable fraction  
41 (PAF). [17-22]. Emerging approaches include the “transmission” PAF (T-PAF) [13, 23-26] and a  
42 re-definition of epidemic types on the basis of their behavioral epidemic drivers [20, 27-29]. The  
43 term *behavioral epidemic driver* refers to risk factors (such as unprotected sex in the context of

1 sex work) – such that a failure to address the risk factor would undermine all other efforts at HIV  
2 epidemic control and thus, the risk factor can sustain HIV epidemics Estimates of the  
3 contribution of sex work to overall transmission vary greatly by methods and the time-horizon of  
4 measurement. The advantages and disadvantages of each of these frameworks are outlined in  
5 Table 1. Estimates are summarized in Table 2.

### 6 *The numerical proxy approach to defining HIV epidemics and inferring role of sex work*

7 By the late 1990's, tailored HIV surveillance and prevention policies were grounded in the user  
8 friendly numerical proxy approach -defining HIV epidemics as concentrated or generalized  
9 based on HIV prevalence thresholds across risk-groups[15]. This framework drew on the theory  
10 of epidemic phase for the role of unprotected sex work in sustaining HIV epidemics [30-36]. It  
11 suggested that in the early phase of an HIV epidemic, infections entered a population through  
12 KP, like FSW, and spread via 'bridge populations,' such as clients, to wider populations. The  
13 size of these epidemics depended on a maintenance (or general population) network, and the  
14 extent to which the two networks overlapped [31]. Epidemics were 'concentrated' in the early  
15 phase, became 'generalized' and were sustained by maintenance networks[31]. The numerical  
16 proxy emerged when the epidemic phase constructs of 'concentrated' and 'generalized' HIV  
17 epidemics were assigned HIV prevalence thresholds [15]. Epidemics were classified based on  
18 whether HIV prevalence exceeded 1% in the general population.) [15, 37, 38]. If overall HIV  
19 prevalence remained below 1% while HIV burden exceeded 5% in a KP the epidemic was  
20 deemed concentrated and focused HIV strategies recommended [15, 37, 38]. If HIV prevalence  
21 surpassed 1% in the general population, the epidemic was generalized and HIV efforts were to  
22 reach all segments of society [15, 37, 38]. The numerical proxy approach was originally  
23 developed to guide HIV surveillance, [15] however, in practice often guided resource allocation  
24 and programmatic design [37, 38].

25 Overall HIV prevalence in 39 SSA countries exceeds 1%, with considerable variability as  
26 defined by the numerical proxy within countries [39]. A limitation of the approach is that  
27 prevalence thresholds have not been validated for inferring the contribution of specific behaviors  
28 among KPs (like unprotected sex work) to overall HIV transmission. [20]. Dynamic  
29 mathematical modelling studies of SSA regions with >1% HIV prevalence such as in Cotonou,  
30 Benin and across Kenya, suggest that unprotected sex work can be an important risk for onward  
31 HIV transmission [9, 13, 24, 29], and challenge the assumption that sex work is not important in  
32 these epidemics.

### 33 *Short-term estimates of the distribution of new HIV infections and classic PAF of sex work on 34 prevalent/incident HIV infections*

35 Allocation of resources is also informed by estimates of the relative burden of new annual HIV  
36 infections acquired in different risk such as those obtained from the UNAIDS HIV MOT model  
37 [16, 40]), or the classic PAF on HIV prevalence or incidence [17-19, 41]. The current MOT  
38 model uses data on HIV prevalence across risk-groups, population size estimates of different risk  
39 groups including KPs and clients, and sexual behaviors such as number of sexual partners [42].  
40 The classic PAF is estimated using point prevalence or within-population incidence data, as well  
41 as estimates of the size of different risk groups.

42 Half of the 39 SSA countries with generalized epidemics have estimated the fraction of annual  
43 new HIV infections acquired by FSWs/clients using the MOT [40, 43], while the classical PAF

1 of sex work on prevalent HIV infections in males and females has been estimated in 25 and 27  
2 countries respectively [22, 44]. These measures often suggest a small role for sex work in current  
3 generalized HIV epidemics (Table 2), but have been shown to underestimate the medium- to  
4 long-term contribution of sex work [29, 44]. Both approaches ignore a central feature of HIV  
5 spread: the propagation of HIV infections via onward HIV transmission (Table 1). Onward  
6 transmission refers to the chain of transmission from a single (direct) transmission during  
7 unprotected sex work that leads to another infection between the infected individual and their  
8 subsequent partners, which in turn, leads to another infection between the newly infected partner  
9 to their other partners. The MOT and classic PAF capture the single, direct transmission, but not  
10 the chain of transmission.

11 *Emerging approaches: the “transmission” PAF and re-defining HIV epidemic typology by*  
12 *behavioral epidemic drivers*

13 The implications of underestimating the contribution of sex work to HIV spread are important  
14 because they can lead to misallocation of resources. From a program perspective, we may  
15 erroneously assume that because few infections arise among FSWs/clients, there is little to gain  
16 from targeted efforts. Two emerging frameworks may address the limitations of the traditional  
17 approaches by accounting for behaviors which potentiate HIV epidemics.

18 The ‘transmission PAF’ (T-PAF) of sex work accounts for transmission chains over time – the  
19 extent to which the cumulative number of new HIV infections are due – directly or indirectly - to  
20 unprotected sex work [9, 23, 25, 26, 29, 44]. The T-PAF is particularly useful because it tells us  
21 about the potential fraction of infections that may be prevented if we can add to existing  
22 interventions and protect all FSWs and clients from HIV during sex work. It provides  
23 information on the potential impact on the total or wider population of a ‘perfect’ intervention  
24 for FSWs and clients, without changes in the sexual network or displacement of sex acts. As a  
25 result, the T-PAF provides a clearer picture of the role of unprotected sex work as a driver of  
26 HIV epidemics with implications for the design, delivery, and scale of HIV prevention. The T-  
27 PAF is estimated from dynamic mathematical models over different periods of time. Dynamic  
28 models are used to predict cumulative infections with and without transmission within  
29 commercial sex [9, 25, 26, 29]. Like the numerical proxy, MOT, and classic PAF, the T-PAF  
30 depends on inputs from the best available empiric data. Other counterfactuals to describe the  
31 influence of sex work itself may include displacement of sex acts or changes in the sexual  
32 network but are distinguished from the T-PAF.

33 To date, the T-PAF over different time-periods has been estimated for three SSA countries;  
34 Benin, Burkina Faso, and Kenya [13, 24, 29, 45]. Estimates of the long term transmission PAF in  
35 each suggest that even in the presence of sustained existing FSW interventions and medium to  
36 high-levels of condom use, 13.5-37.6% of all new HIV infections over the next 20 years could be  
37 due directly and indirectly to sex work [13, 44, 45]. Without FSW interventions, this figure of  
38 new infections attributable to sex work is estimated to be 58.3-88.9% over the same time-period  
39 [13, 44, 45]. Direct comparisons of the MOT estimates and classic PAF with the transmission  
40 PAF where all are derived from simulated HIV epidemics via dynamic mathematical models  
41 have shown that the MOT and classic PAF are similar to the transmission PAF of sex work in the  
42 short-term (1 year) but the former are much smaller in the medium- to long-term [29, 44]. This  
43 discrepancy occurs because the transmission-PAF captures onward transmission. Onward  
44 transmission is particularly important with behavioral epidemic drivers such as unprotected sex

1 work associated with high frequency of sexual partnerships and mixing between risk groups. A  
2 systematic review of dynamic mathematical modelling studies summarized the potential impact  
3 of sex work interventions on onward transmission within the wider community in SSA (Table  
4 3)[13, 24, 46, 47] – i.e. HIV in the overall population and beyond FSWs and their clients. Most  
5 models were calibrated to observed HIV prevalence in FSWs [13, 24, 47-50]. They suggest that  
6 across a range of interventions, focused FSW programming could avert up to 85% of new HIV  
7 infections in the total population over 15 years[9], and reduce HIV incidence by up to 35% over  
8 10 years in the general population [51]. Reaching clients could also provide large incremental  
9 benefits [52].

10 Finally, there has been growing momentum to re-define HIV epidemics on the basis of their  
11 underlying transmission dynamics – and the role of FSW/clients in the emergence and  
12 persistence of HIV spread [19, 20, 27-29]. In this new classification system, HIV epidemics are  
13 classified as ‘generalized’ if they are entirely driven by non-KP sexual networks and ‘mixed’ if  
14 epidemic control requires preventing transmission within KP and non-KP networks (preventing  
15 infections among KP are insufficient to control the epidemic, and likewise if only preventing  
16 infections among non-KP networks). A growing number of countries are adopting this new  
17 nomenclature – particularly the use of the term ‘mixed’ epidemic [19, 53]. In practice, this re-  
18 definition of epidemic types remains dependent on testing via dynamic mathematical models  
19 [29].

20

## 21 **Existing Data Available for the Transmission PAF, Re-Defining HIV Epidemics, and** 22 **Informing the Design of Sex Work Programs across SSA**

23 Dynamic mathematical models can be used to estimate the T-PAF and to help classify epidemics  
24 based on behavioral drivers, but require the best available data on sex work, clear definitions of  
25 who is a sex worker, HIV burdens across risk-groups including clients of FSWs, population size  
26 of FSWs and clients, mediators of individual-level HIV acquisition and HIV transmission risks,  
27 sexual partnerships and networks, and HIV prevention and treatment coverage. The data needs  
28 overlap with the programmatic needs to inform the content and scale of sex work programs  
29 (Table 4). Recent reviews shed light on the current FSW/client data landscape, how data are  
30 being collected, where, and limitations of the data (Table 5). Stigma and criminalization can pose  
31 barriers to data collection; working with FSW communities in the design and implementation of  
32 surveillance and research tools can help ensure data collection is rights-based, appropriate, and  
33 reflects the diversity of the population.

## 34 **Epidemiologically and Programmatically Meaningful Definitions of Sex Work**

35 Clear definitions of sex work are needed to (a) ensure FSW/client interventions are reaching  
36 them and to (b) design intervention packages that meet their needs. [54-58] There is no current  
37 consensus on the surveillance definition of sex work. Some define sex work as any exchange of  
38 sex for money, favors, or goods [59]. Others limit definitions to only the exchange of money,  
39 large client volumes, self-identification, or reference to sexual partners as FSW/client, when  
40 money was negotiated [54, 60-62]. Terms such as informal, part-time, clandestine, or  
41 transactional sex permeate the discourse yet their distinction from formal, high-volume sex work,  
42 remains unclear. [57, 60, 61, 63]. It is important to distinguish sex work within this spectrum  
43 even if individuals engage in more than one type or transition between types [64].



1 Formal sex work with large client volumes in highly-connected and high-risk sexual networks  
2 has different implications for HIV spread than casual, or long-term, concurrent partnerships that  
3 may be financially motivated [65]. Without clear definitions of sex work, T-PAF analyses to  
4 estimate the contribution of sex work to HIV epidemics may use conflated FSW/client size  
5 estimations, risk-behaviors, and HIV burdens, thereby under or over-estimating the role of sex  
6 work – and limit all approaches, including dynamic modeling. Client volume and percent  
7 income from sex work has been associated with HIV in a number of generalized HIV epidemics  
8 ranging from Nigeria to Swaziland[66, 67]. Thus, we suggest a strategy that defines sex work  
9 based on client numbers and on a pragmatic basis for focused HIV prevention efforts.

## 10 **Population Size Estimation of FSWs and Their Clients**

11 Size estimates and the duration of sex work are central to understanding the contribution of sex  
12 work to HIV epidemics. Every framework (Table 1) needs this information - as direct inputs into  
13 mathematical models or as the bases for representative sampling for bio-behavioral surveys. Size  
14 estimates also are critical for programs to provide services at scale and to monitor coverage, and  
15 are increasingly being used by funders to support allocation of HIV expenditures[68, 69].

16 FSW/client population size estimation are not routinely collected as part of traditional HIV  
17 surveillance. However, guidelines on different approaches exist, and several countries have  
18 started to enumerate FSWs [69, 70]. Size estimation methods include network-size analyses of  
19 respondent driven sampling surveys, and multi-staged key informant and geographic mapping  
20 and enumeration of KP hotspots [69, 71, 72]. Geographic mapping with enumeration has the  
21 added benefit of providing program “catchment areas” for better intervention delivery [73, 74].  
22 Size estimations conducted in 29 SSA countries to date suggest that about one to three percent of  
23 adult women are engaged in active formal sex work [44], whereas estimates of client population  
24 size range widely from a median of 3% using direct surveys methods to 7-30% using indirect  
25 methods [44]. The indirect method of client population size estimation was first described by  
26 Cote *et al.* to calculate a plausible match from the adult male population to the number and  
27 frequency of clients reported by FSWs, and the frequency of repeat FSW visits reported by  
28 clients [17]. These indirect SSA size estimates are similar to those reported in concentrated HIV  
29 epidemics characteristic of India [20]. The indirect method requires FSW-specific and client-  
30 specific behavioral surveys and FSW size estimations; absence of client surveys has been the  
31 limiting factor for estimating client population size. While the value of size estimation cannot be  
32 overstated, it is important to note that a number of biases limit each size estimation method for  
33 KPs [68, 70], and the indirect method for client size estimation depends on several data from  
34 FSW and client-specific surveys. Where possible, triangulating estimates from different methods  
35 may be helpful[72].

36 Size estimations are often conducted once, and rarely repeated using the same approach. Thus,  
37 the stability or temporal dynamics of FSW/client size (relative to the general population) remains  
38 unknown. Rates of entry and exit from engaging in sex work (“turn over”) and thus, duration in  
39 sex work, may be important when estimating downstream HIV transmission from unprotected  
40 sex work [75] during the career-span of FSW or after retiring from sex work [76]. Sex work  
41 population dynamics and how it may influence the T-PAF remain unexplored.

## 42 **Representative Estimates of Relative HIV Burden**

1 Representative estimates of HIV prevalence, incidence, and , potentially, superinfection data  
2 among FSW and clients can be used to estimate the role of sex work in HIV epidemics (Table  
3 1)[77]. Obtaining unbiased empirical estimates of HIV incidence is challenging so most dynamic  
4 mathematical models will use HIV prevalence data to support model calibration. Optimal  
5 estimates can help allocate for HIV care, further risk-stratify FSW and clients, and monitor  
6 program impacts..

7 FSWs/client HIV prevalence data in generalized HIV epidemics comes from household surveys  
8 such as the Demographic Health Surveys, and from FSW/client- bio-behavioral surveys. General  
9 population surveys are limited by willingness to report sex work.[78]. Household surveys also  
10 tend to under-sample mobile or migrant populations, including truckers, miners, fisher-folk and  
11 refugees, who may be more likely to be clients or SWs.[79, 80]. While some of these biases are  
12 addressed with direct surveys of FSWs and clients, participants in these studies may not be  
13 representative of the underlying FSW/client population. For example, two-thirds of FSW HIV  
14 data in generalized epidemics of SSA come from convenience sampling of sexually transmitted  
15 infection (STI) clinics or FSW venues [44]. Despite these limitations, the available data suggest  
16 a disproportionate burden of HIV among FSW in generalized epidemics (Table 5) – and  
17 variability in the magnitude of inequity is not fully explained by differences in study design.  
18 Three recent systematic reviews of HIV among FSW in the generalized epidemics of SSA  
19 suggest a 9 to 14-fold greater HIV burden compared to all women of reproductive age [22, 44,  
20 81]. Meanwhile, client-specific studies across six SSA countries suggest a 4-fold greater odds of  
21 HIV prevalence among self-reported male clients compared to non-client males [44] [18, 19, 82,  
22 83].

23 Thus, the next phase in HIV surveillance in generalized HIV epidemics should include FSW and  
24 client HIV prevalence estimates. Where possible, HIV prevalence estimates should be obtained  
25 via representative sampling [84] using pre-sampling size estimations or venue assessments to  
26 inform sampling frames [70]. Where size estimations are not possible, using respondent-driven  
27 sampling as a chain-referral strategy may support the calculation of less biased estimates of HIV  
28 burdens [85].

29

### 30 **HIV Acquisition and Transmission Risks and Protective Behaviors Among FSW/clients**

31 Dynamic models of HIV epidemics that include sex work need to parameterize the heterogeneity  
32 in HIV acquisition and transmission risk associated with sex work in order to capture the  
33 ‘mechanistic’ processes that underpin transmission events. There is an extensive body of  
34 literature that outlines the proximal and distal determinants of HIV acquisition among FSWs and  
35 clients [55, 86, 87]. Proximal determinants include differential patterns of condom use by partner  
36 type (regular, new, and non-paying), numbers of partners, frequency of sexual acts by partners  
37 and type of sex (vaginal vs. anal), concomitant STIs, , anal and vaginal douching and use of  
38 drying agents and spermicides[88-90]. Proximal determinants are important for estimating the  
39 transmission PAF and re-defining HIV epidemics on the basis of behavioral drivers; whilst  
40 proximal and distal factors such as laws, policies, or health-system factors are each critical to the  
41 design of HIV programs.

42 Currently, the only FSW risk-factor data routinely requested and reported in the UNAIDS  
43 country reports is condom use at last sex [91]. The majority of studies on HIV factors among

1 FSWs have focused on assessing individual, proximal risks. Yet distal factors are increasingly  
2 recognized as predictors of HIV acquisition and for the coverage of services for FSWs [86, 92,  
3 93]. In Swaziland, there were significant relationships between increased measures of social  
4 capital and condom use and uptake of HIV testing in FSWs [94]. Recent modelling of a potential  
5 causal pathway from history of sexual violence and current condom-use among FSWs suggests  
6 important population-level effects of sexual violence mediated through individual-level sexual  
7 practices [95].

8 Taken together, these findings suggest the utility of comprehensive risk assessments – and causal  
9 pathways of HIV risk and/or protective behaviors - when characterizing HIV- risks among  
10 FSW/clients. An understanding of proximal determinants is needed to reproduce HIV epidemics  
11 with dynamic models, and thus, estimate the T-PAF. Estimating the T-PAF of distal  
12 determinants requires a strong empirical basis for the full causal pathway. However, developing  
13 indicators to measure the full scope of structural and social factors and relating each to  
14 individual-level proximal determinants is a challenging and emerging area of research in  
15 dynamic modeling. Nonetheless, HIV programs are implemented within structural determinants  
16 such as human rights violations, criminalization, sexual and physical violence, condom  
17 accessibility and perceived and experienced stigma and discrimination [86]. Programs need to  
18 address determinants along the full casual pathway to HIV acquisition and transmission during  
19 sex work.

## 20 **Characterizing HIV Transmission Networks of FSWs, Clients, and the Wider Community**

21  
22 Key to the transmission PAF is data on how partnerships are formed within sex work and  
23 between FSW/clients and individuals not directly engaged in sex work, including those involved  
24 in other financially-motivated partnerships, concurrent or serial multiple partnerships, and the  
25 ‘lower-risk’ general population. To date, these have only included sexual partnerships – but can  
26 (and should) be extended to include other risks.

27  
28 For the transmission PAF, we usually infer ‘who has sex with whom’ from available data by  
29 fitting these data to observed data on HIV prevalence/incidence across risk groups. Such data are  
30 not routinely collected as part of HIV surveillance, but can come from individual surveys of  
31 FSWs and clients with questions about the number, type, age, etc. of sexual partners by the type  
32 of partnership or sexual network surveys [96]. Phylogenetic analyses using HIV sequence data  
33 have been used to infer networks among people who inject drugs and MSM [97-100], and are  
34 being explored to infer HIV transmission networks of FSW/clients and the wider community[98,  
35 101]. Deterministic models assume instantaneous partnerships and – with the exception of pair  
36 models - do not explicitly account for duration of partnerships, which may be important for  
37 casual or long-term partnerships. The type of dynamic mathematical model may influence the T-  
38 PAF. Early work on model comparison suggests that deterministic models with assumptions of  
39 instantaneous partnerships may overestimate the role of long-term partnerships in transmission  
40 compared with network models with explicit partnership duration .

41  
42 Characterizing sexual networks includes the different contexts within which sex work takes  
43 place, such as short-term migration [26], and how networks (or sexual mixing between risk  
44 groups) change over time. Intersections and overlaps with networks of people who use drugs,  
45 and casual sex networks, are also an emerging area of study [102, 103]. If we do not account for

1 overlaps in transmission networks, we may underestimate the T-PAF of sex work to HIV  
2 epidemics. Similarly, vertical HIV transmission among FSWs may be high but remains unknown  
3 in SSA. FSWs are less likely to use condoms with non-paying partners – with whom FSWs may  
4 choose to have children [104].

## 6 **Program and Biological Data to Characterize Interventions and Engagement in HIV** 7 **Prevention and Treatment Programs**

9 Data on program-related protective factors for HIV acquisition and transmission – such as  
10 condom-use, voluntary male circumcision among clients, and HIV viral suppression among  
11 FSW/clients on ART are important to include when estimating the T-PAF, and when designing  
12 and monitoring HIV programs.

13 The only routinely collected indicators of FSW-program reach include awareness of where to  
14 access HIV testing, and receipt of condoms in the last 12 months [91]. These indicators were  
15 reported for 20 countries in the 2012 UNAIDS Country Progress Reports. A country-median of  
16 54.4% (range, 1.5-89.9%) of FSWs surveyed reported knowledge of where to access HIV testing  
17 and receipt of condoms in the last 12 months. The indicators were based on convenience samples  
18 (18 from surveys), and only one had pre-sampling enumeration; 28 countries did not report or  
19 have data on FSW coverage with denominators. The extent to which existing HIV prevention  
20 programs are reaching FSWs and clients and addressing their HIV risk remains highly  
21 questionable.

23 The remainder of the HIV continuum of care for FSWs (or clients) has not been monitored as  
24 part of the UNAIDS country reports. Although there are a few studies of the HIV care cascade  
25 among FSWs [105, 106], the data are limited to FSWs who meet study-specific eligibility criteria  
26 and agree to participate.. Thus existing HIV care data are likely not representative of the  
27 underlying FSW populations [105, 106]. Continuum of care data could help estimate the  
28 additional ART needs of FSW[107, 108]. Monitoring of primary and secondary emergence of  
29 HIV drug-resistance could be important in populations at highest risk, such as FSWs in  
30 generalized HIV epidemics – as has been done with `sentinel` surveillance of drug-resistant  
31 gonorrhea in industrialized settings [109]

## 33 **Conclusions**

35 There is growing empiric and model-based evidence for helping decide whether, how much, and  
36 how to focus on sex work in generalized HIV epidemics. A small, but growing, body of model-based  
37 evidence of the transmission PAF and sex work interventions demonstrate the large potential for HIV  
38 prevention and health benefits to the wider community from sex work programs in generalized HIV  
39 epidemics. However, gaps remain and limit a comprehensive understanding of the role of sex work.  
40 Understanding could be improved by investing in the collection of specific data, by making the best use  
41 of these data, and with appropriate methods of estimating the role of sex work in HIV epidemics. To  
42 move forward, the HIV scientific community must begin by characterizing the epidemiology of  
43 generalized HIV epidemics with data and more appropriate methods of estimating the  
44 contribution of the unmet needs of sex workers and their clients.

1

2

1 **Box 1: Why quantify the role of sex work in HIV epidemics?**

<b>Quantifying the role of sex work in generalized HIV epidemics involves:</b>
<ul style="list-style-type: none"><li>• Estimating the cumulative fraction of new HIV infections that directly or indirectly originate from unprotected sex in the context of commercial sex work in presence and absence of existing interventions.</li></ul>
<ul style="list-style-type: none"><li>• Distinguishing the cumulative fraction of new HIV infections that directly or indirectly originate from unprotected sex in the context of commercial sex work versus other financially-motivated transactional partnerships.</li></ul>
<b>Importance of quantifying the role of sex work in generalized HIV epidemics:</b>
<ul style="list-style-type: none"><li>• To better understand local HIV epidemics and identify the main behavioural sources of HIV transmission fuelling the HIV epidemic (i.e. unprotected behaviours that without additional interventions, could undermine HIV epidemic control).</li></ul>
<ul style="list-style-type: none"><li>• To help HIV programmes decide when, where, and how to focus on sex work interventions for individual-level prevention and health benefit to those most-vulnerable to HIV acquisition and transmission.</li></ul>
<ul style="list-style-type: none"><li>• To help HIV programmes decide when, where, and how to focus on sex work interventions for population-level prevention and health benefits in the wider community.</li></ul>
<ul style="list-style-type: none"><li>• To help policy-makers allocate HIV resources effectively and efficiently.</li></ul>
<ul style="list-style-type: none"><li>• To reduce inequities in HIV service delivery across risk-groups.</li></ul>

2  
3  
4