

## Institutional Tuberculosis Transmission: Controlled Trial of Upper Room Ultraviolet Air Disinfection - A Basis for New Dosing Guidelines

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## Trial of Upper Room Ultraviolet Air Disinfection

*Impact:* This research demonstrates upper room germicidal air disinfection can be highly effective under real hospital conditions and provides the basis for new application guidelines.

*At a Glance Commentary - Scientific Knowledge on the Subject,*

The efficacy of upper room air disinfection is no longer in doubt, but so far there has been only one other hospital-based field study involving humans as the source of transmission and infection (of guinea pigs) as the end point. For 60 years, the application of upper room UVGI has been hampered by inadequate application guidelines, primarily based on fixture input wattage, not UV output. This is the first hospital-based study to have characterized conditions sufficiently well to provide a basis for international application guidelines.

**What This Study Adds to the Field:** Beyond demonstrating an approximately 80% reduction in transmission, this is the first field study to attempt to completely define the conditions responsible. Moreover, it highlights the need for basing ultraviolet fixture number and location on fixture UV output, not electrical input, as has been done in the past. The proposed application guideline are based on the entire room volume, either total fixture output per cubic meter volume, or using a recently characterized computer assisted design program, the average ultraviolet irradiance (fluence rate) for the entire room volume. These application guidelines should provide a firm scientific basis for a critically important technology that is often poorly applied, especially in high burden settings where institutional airborne TB transmission is a key factor driving the global TB epidemic.

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**Abstract** (249 words)

*Rationale:* Transmission is driving the global TB epidemic, especially in congregate settings. Worldwide, natural ventilation is the most common means of air disinfection, but it is inherently unreliable, and of limited use in cold climates. Upper room germicidal UV air disinfection with air mixing has been shown to be highly effective, but improved evidence-based dosing guidelines are needed.

*Objectives:* 1) To test the efficacy of upper room germicidal air disinfection with air mixing to reduce tuberculosis transmission under real hospital conditions; and, 2) to define the application parameters responsible as a basis for proposed new dosing guidelines.

*Methods:* Over an exposure period of 7 months, 90 guinea pigs breathed only untreated exhaust ward air, and another 90 guinea pigs breathed only air from the same 6-bed tuberculosis ward on alternate days when upper room germicidal air disinfection was turned on throughout the ward.

*Measurements:* The tuberculin skin test conversion rates ( $> 6$  mm) of the two chambers were compared.

*Main Results:* The hazard ratio for guinea pigs in the control chamber converting their skin test to positive was 4.9 (CI.95: 2.8, 8.6); efficacy of approximately 80%.

*Conclusions:* Upper room germicidal ultraviolet air disinfection with air mixing was highly effective in reducing tuberculosis transmission under hospital conditions. These data support using either a total fixture output (rather than electrical or UV lamp wattage) of 15-20 mW/m<sup>3</sup> total room volume, or an average whole room ultraviolet irradiance (fluence rate) of 5-7  $\mu$ W/cm<sup>2</sup>, calculated by a lighting computer assisted design program modified

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for ultraviolet use.

*(3,616 words with recommended changes)*

**Introduction:** Ultraviolet germicidal irradiation (UVGI) has long been a standard method of water disinfection, but although rigorously studied, UVGI air disinfection has been less well accepted and is poorly defined in terms of evidence-based international application guidelines.(1) The most important global application of upper room UVGI is to prevent the spread of *Mycobacterium tuberculosis* (*Mtb*) in health care and other congregate spaces, especially in high-burden, resource-limited settings.(2) The high volume of mechanical ventilation (6 – 12 air changes per hour, ACH) recommended for the prevention of airborne infection is often not feasible in these settings. Facilities in suitable climates often depend on natural ventilation, which can be highly effective in well-designed buildings under optimal outside conditions, but can also be inadequate when conditions are sub-optimal, and at night when windows may be closed for thermal comfort, pest control, or security.(3) In cold climates natural ventilation is often not a practical option, but even in hot climates, as air conditioning becomes more widely used for thermal comfort, windows are usually closed. In these and other settings, upper room germicidal UVGI, often combined with natural or mechanical ventilation, may be the most cost-effective method for providing effective air disinfection.

Wall or ceiling-mounted UVGI fixtures are designed to produce an intensive air disinfecting zone in the upper room, above people's heads, while limiting irradiation in the lower, occupied room in order to prevent eye and skin irritation of room occupants.(4-6)

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Air mixing between the upper and lower room, commonly assured by low-velocity ceiling fans, results in effective air disinfection in the occupied breathing zone.(7-10) Efficacy of upper room UVGI depends on three principal factors: 1) the average UVGI fluence rate (irradiance from multiple sources) produced in the upper room and its distribution; 2) the rate of vertical air mixing; and 3) the UV susceptibility of the organism under ambient conditions.(11-13) Using aerosolized surrogate test organisms in room-size test chambers, and microbiological air sampling, various researchers have reported upper room UVGI air disinfection equivalent to 10, 20 and even higher ACH.(7, 13-16) In contrast to the upper room application, except in very small rooms, most UVGI-based room air cleaners (air moving devices) are greatly limited by their clean air delivery rate, short-circuiting of processed air, and resulting low equivalent ACH.(17)

Despite extensive laboratory evidence of efficacy over many years, the paucity of convincing field trials in clinically relevant settings has been a major barrier to full acceptance, technology development, and wider implementation of upper room UVGI.(18) Here we report the results of a controlled field trial of the effectiveness of upper room UVGI with air mixing to reduce transmission of *Mycobacterium tuberculosis* (*Mtb*) from patients with MDR or XDR TB in a provincial referral hospital in South Africa. Because mechanical microbiological air sampling is not feasible for naturally generated *Mtb*, we employed highly susceptible guinea pigs as biological air samplers, using infection (detected by the tuberculin skin test, TST) as the most clinically relevant endpoint.(19) We also report on the application of a recently validated computer assisted design (CAD) program (Visual™-UV) to better define critical UVGI parameters, such as

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average room germicidal UV fluence rates(20) Finally, based on the results of this trial, we propose two new dosing strategies using total UVGI fixture output for determining the germicidal irradiation required in designing highly effective UVGI room installations.

Some of the results of these studies have been previously reported in the form of an oral abstract presentation.(21)

**Background:** In their classic 1958 to 1962 experiments, Riley and colleagues quantified the airborne transmission of human-source *Mtb* using hundreds of highly susceptible sentinel guinea pigs exposed to the air exhausted from an experimental 6-bed tuberculosis ward in a Baltimore hospital.(22-26) The investigators had also intended to test the efficacy of upper room UVGI, as evident in the 1959 paper describing the experimental ward where a UVGI wall fixture is illustrated in a patient room (figure 1 in that paper).(22) But, after 4 years of experiments, the hospital reclaimed the ward for other purposes, and upper room UVGI was never tested. In 1996, however, Riley's longtime research collaborator, the late Solbert Permutt, suggested a novel design for air disinfection experiments, using two guinea pig chambers in order to control for variable patient infectiousness.(27, 28) His concept called for one guinea pig exposure chamber (intervention chamber) to receive exhaust air from the ward only every other day, the days when upper room UVGI was turned on in the ward; and the other exposure chamber (control chamber) to receive exhaust air from the same ward only on the alternate days, when upper room air disinfection was turned off. This experimental design assured that patient infectiousness would be equivalent during the cumulative intervention and control periods. After months of exposure to ward air, any differences in the TST reaction rates

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between the two guinea pig chambers would be a direct measure of the effectiveness of UVGI. In the last decade two research groups have re-established experimental tuberculosis hospital wards similar to Riley's for the purpose of studying tuberculosis transmission and control strategies, and have adopted Permutt's alternate-day experimental design.(18) Thus far, upper room UVGI, room air ionizers, masks on patients, portable room air cleaning (filtration) machines, and inhaled antibiotics have been subjected to controlled testing in very different clinical settings in Peru and South Africa.(18, 29) Escombe reported the effectiveness of upper room UV in a TB/HIV ward occupied by patients with mostly drug susceptible TB in Lima, Peru.(18) The present study tests the effectiveness of upper room UVGI with air mixing in an MDR-TB referral hospital in South Africa as a basis for proposed new dosing guidelines.

**Methods:**

The AIR Facility. This study was performed at the Airborne Infections Research (AIR) Facility in eMahlaheni, South Africa. Like Riley's facility, the AIR facility was designed to expose hundreds of susceptible sentinel guinea pigs to airborne tuberculosis (infectious droplet nuclei) generated by patients with active, culture-proven, mostly sputum smear positive, cavitary, pulmonary tuberculosis. The facility is physically part of the Mpumalanga Provincial MDR-TB Referral Hospital, and the patients recruited for this study were among those newly admitted with highly drug resistant TB and just started on standardized South African MDR-TB treatment. The facility consists of a 6-bed inpatient MDR-TB ward connected by an airtight ventilation system to 2 identical guinea pig exposure chambers. The study methods (human and animal protocols) were identical to

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our previously published study of the effectiveness of surgical masks on patients, but instead of masks on patients, upper room UVGI was turned on in the 3 patient rooms and corridor every other day.(30) Human subjects in this study served only to generate infectious aerosols while on the ward. They received exactly the same care and treatment as on the main MDR wards. Subject inclusion and exclusion criteria, recruitment, consent, and TB treatment were the same as in the published surgical mask study.(25) This study was approved by the human and animal ethics committees of all participating organizations.

Selecting the UVGI fixtures to be tested. The goals of this research were to test the effectiveness of upper room UVGI air disinfection with air mixing in a real hospital setting, under defined conditions, using the best available UVGI fixtures, but not to test any one manufacturer's product. Based on our published test chamber experiments and fixture testing, technical specifications for wall fixtures to be used in this study were developed and candidate fixtures solicited in the USA and South Africa (see on-line supplement). Unless previously characterized at the Harvard School of Public Health, samples of stock or custom manufactured fixtures claiming to meet these specifications were tested for compliance.

Among those submitted for consideration, only 2 fixtures approximated our specifications. Both were made in the USA. Each manufacturer donated 6 wall fixtures for the study, one each for the 3 patient rooms, the hallway, common room, and one of each to be kept in reserve should a fixture fail. Spare lamps for each fixture were also on hand. The fixtures

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were mounted 2.1 m from the ground, on opposite walls, but staggered in an effort to produce: 1) as uniform a UVGI distribution as possible from two sources, and 2) the longest (estimated) average UV ray length possible in the room (Figs 2a, 3).

The commonly available ceiling fans used in the 3 patient rooms and the corridor (Fig 2c) had three blades 0.46 m<sup>1</sup> length, and operated at all times at 100 rpm in the upward direction. Air was also mixed by the heating, ventilation, and air conditioning system, which ran at 6 air changes per hour (outside air) during this 7 month exposure experiment. Details on ventilation and average humidity are discussed in an on-line supplement.

**Results:**

The experiments: When an initial 4-month exposure study resulted in too few guinea pig infections in the control chamber to meet our power calculation requirements, a nearly identical second 3-month experiment was subsequently conducted with fresh animals and additional human subjects. The only difference between the two experiments was a change in the location of the exhaust ducts from the patient rooms. When the first UV study showed only 9 guinea pig TST conversions, all under control conditions (Table 1), we questioned whether the upper room location of the exhaust ducts in the patient rooms might be contributing to this preliminary 100% efficacy estimate by selectively sampling irradiated air. Exhaust ports were relocated to the breathing zone positions indicated in Figure 2b. However, as predicted by our engineers, subsequent tracer gas studies and air flow modeling indicated that the ceiling fans produced well-mixed conditions, that is, exhaust air was not disproportionately exhausted from the irradiated zone. (31) There

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was no scientific rationale not to combine the results of the two experiments in the analysis, as presented in the Kaplan-Meier plot, Figure 4, showing the proportion getting infected, at least once, as a function of time, accommodating the sacrificed animals as censored. This does not depict the multiple infections of a single animal. To incorporate the possibility of multiple hits we use a Poisson model and estimate the monthly rate of infection using maximum likelihood. Even though we cannot accurately count the number of infections, we can count the number that escape infection each month. We calculate the probability of not getting infected as a function of the rate of infection to provide the likelihood equations. Using this method we estimate that over the three months for the first study there were a total of 0 observed and 0 estimated infections for the intervention group and a total of 9 observed and 10.61 estimated for the control group. For the second study over the four months there were a total of 15 infections observed and 16.41 estimated for the intervention group, and 49 observed and 68.59 estimated for the control group. The Poisson correction method was similar to that routinely applied in mechanical air sampling.<sup>(32)</sup> Uncorrected, an estimated 74% protection was calculated, whereas corrected for multiple hits, the estimated protection increased to approximately 80%.

Safety measurements were made at eye level with a sensitive 254 nm photometer (Gigahertz Optik, etc) before any patients entered the ward, and confirmed peak values of no more than  $0.4 \mu\text{W}/\text{cm}^2$ , values within local Medical Research Council guidelines and published recommendations, and highly unlikely to lead to eye or skin irritation among

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room occupants.(33)(34) There were no eye or skin complaints registered by staff or patients during the study.

**Discussion:** Optimal application guidelines for upper room UVGI requires evidence of safe and effective air disinfection in high-risk facilities, and careful characterization of the key parameters responsible. Our study demonstrates that two very well-characterized UVGI fixtures per room with ceiling fans provided an estimated 80% protection, statistically corrected for multiple hits. This is protection equivalent to adding approximately 24 ACH of ventilation. Escombe and colleagues found 72% protection, uncorrected for multiple hits, almost identical to our uncorrected 74%, using very different fixtures and air mixing fans in a very different hospital setting in Peru. Moreover, the equivalent air changes added in this study are similar to what has been previously reported in several experimental room-scale studies, suggesting that upper room UVGI is a robust technology, not critically dependent on fine details as long as adequate average UVGI fluence rates are produced in the upper room and there is good vertical air mixing.

### **Implications for designing upper room UVGI air mixing systems**

At present, the number, location, and performance characteristics of UV fixtures required to reduce tuberculosis transmission (or other airborne infections) in rooms are poorly defined. A single room study by Riley and Middlebrook over 30 years ago had long been the basis for the widely used guideline of one 30W (nominal electrical power) UV fixture for 200 ft<sup>2</sup> (18.6 m<sup>2</sup>).<sup>(35)</sup> However, neither the total UVGI output (efficiency) of the 17 W

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unlouvered fixture, nor the air mixing in the unventilated test room (radiator but no fan), were defined. Based on the more recent room studies of Miller and colleagues, NIOSH has suggested two alternative dosing strategies – either 6 lamp watts (UV) per m<sup>3</sup> irradiated zone, or 30 – 50  $\mu\text{W}/\text{cm}^2$  average UV irradiance in the upper room.(1) However, like the Riley guideline, the first NIOSH dosing strategy does not consider fixture efficiency, which can vary greatly, as detailed in an on-line supplement. Although the second NIOSH guideline is based on fixture germicidal UV output, there is no standard method for measuring average upper room UVGI fluence rates and no practical way for planning an installation to achieve the recommended average

UVGI room irradiance (fluence rates): In order to predict average germicidal UV fluence rates anywhere in rooms, we adapted and validated a commercially available computer assisted design (CAD) lighting tool called Visual™ (Acuity Brands, Connors, GA) for upper room UVGI design purposes (*Visual™-UV*).<sup>(20)</sup> With full gonioradiometric input data for the two fixture models used in this study, Visual™-UV software calculated UV fluence rates for the irradiated AIR facility areas. The average fluence rate in the upper irradiated room (above 2.1 m, 24% of total room volume) was 19.5  $\mu\text{W}/\text{cm}^2$ . Rather than the average UV fluency rates for a single fixture-level horizontal plane, reported in the Miller study, or for the entire upper irradiated zone, Rudnick and First proposed that average fluency rates for the entire room volume as a preferable dosing parameter.<sup>(36)</sup> Their reasoning was that disinfecting larger room air volumes require additional UVGI fluence rates – not accounted for by the guidelines based on either single plane or upper

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irradiated zone average fluence rates. Visual UV calculated an average fluency rate for the 3 AIR facility patient rooms and corridor as  $5.88 \mu\text{W}/\text{cm}^2$ , or approximately  $6 \mu\text{W}/\text{cm}^2$ .

Rudnick and First also suggested that under well-mixed conditions, the UVGI fluence parameter determining germicidal UV efficacy is approximated by the total UV fixture output ( $\text{W}/\text{m}^3$ ) per room volume.(36) They made two other assumptions: 1) that fluence rates are distributed as evenly as possible in the upper room; and 2) that wall fixtures are positioned for maximum average ray length (including premature impact of rays on ceilings due to any upward angle above the horizontal).(36) Under well-mixed conditions, all airborne organisms have an equal chance of exposure in the upper room until they are exhausted from the room. UVGI ray length is important because photons, although diverging, remain fully germicidal until they are absorbed by a surface. From this perspective, wall mounted fixtures generally have longer average ray lengths compared to fixtures designed to be mounted in the center of rooms. In order to calculate total UV fixture output per room volume used in this study, we directly measured total fixture UV output for both fixture models using the integrating sphere method (Prof. W. Leuschner, U. Pretoria). In each patient room containing two fixtures, one of each design, the total combined UVGI fixture output (fluence rate) was 0.71 W, and the total fixture output for the entire treated space (volume  $171 \text{ m}^3$ ) was 2.9 W. Therefore, the total fixture UVGI output applied was  $17 \text{ mW}/\text{m}^3$  room volume.

By comparison with our  $17 \text{ mW}/\text{m}^3$  total room dose, a recalculation of the Miller room study (using aerosolized *Mycobacterium parafortuitum*) based on estimates of total fixture

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output of the fixtures used (nominal 216 W) results in a total dose of 12.6 mW/m<sup>3</sup>. While differences in methods (including test organism susceptibility) preclude direct comparison, the similarity of outcomes is striking. In the two studies, a total average fixture dose of 13 to 17 mW/m<sup>3</sup> resulted in an estimated 16-24 EqACH. This agreement, while requiring confirmation, suggests that the total UV fixture dose per room volume may be more useful than older dosing guidelines. We do not know enough about the germicidal output of the fixtures used in the Escombe hospital study (the only other human to guinea pig *Mtb* transmission UVGI experiment) to make a similar estimate. With adequate mixing, higher doses than those employed in the study reported here would likely have produced greater air disinfection, but also a potentially greater risk of occupant UVGI exposure. For that reason we suggest a target range of 15 to 20 mW/m<sup>3</sup>. While 16-24 added Eq ACH is much higher (and less costly) than can be routinely accomplished by other means of air disinfection, further studies are needed to determine the upper practical limits of safe upper room UVGI air disinfection in occupied spaces.

*Dosing strategy 1 (practical method, not requiring computed assisted design):* Based on this hospital-based study we suggest providing at least 15-20 mW/m<sup>3</sup> total fixture wattage to each room. To calculate the number of fixtures needed, total germicidal UV output for each fixture model must be provided by the manufacturer, based on measurements in a qualified lighting laboratory using the integrating sphere method or full gonioradiometry. Upper room fixtures should be positioned to keep the beam at least 2.1 meters above the floor. Fixture should be located to fulfill two further goals: a) to produce as even a upper room distribution of irradiance as possible, and b) to achieve maximum estimated

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average ray length in the upper room. Sample calculations are found in an on-line supplement. A simple direct measurement method for estimating total UV fixture output for louvered fixtures is under development by Dr. Steven Rudnick, Harvard School of Public Health).

*Dosing strategy 2 (requiring computer assisted design, i.e, Visual™-UV):* Visual™-UV can calculate the average UV fluency rate for the entire room. The advantage of this dosing method is that average ray length is accounted for by the room specifications required as input by the CAD program. Using dosing strategy 1 (above) as a first approximation, Visual™-UV can be used by trial and error to verify the number, design, and optimal location of fixtures required to produce an average room fluency rate of at least 5-7  $\mu\text{W}/\text{cm}^2$ .

Beyond the total fixture UV output measurement required for dosing strategy 1, use of dosing strategy 2 requires full gonioradiometric data of each fixture model as input for the Visual-UV program. In our view, fixture manufacturer's should provide full output data (both measurements) for the fixture models that they sell. Ideally, a few high quality lighting laboratories around the world will be used to measure fixture output for manufacturers using standardized methods. Both the laboratory and the specific methods employed should be identified with the output measurements for each fixture model.

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Closely spaced louvers greatly reduce fixture efficiency, but have been necessary for rooms with low ceilings (below 2.7 m) to prevent occupant over exposure.(34) However, the same fixture with the louvers removed deliver up to 7 times the UV output. Fixtures with less restrictive louvers can be used in rooms with very high ceilings (over 2.7m) if eye-level photometry is performed to assure safety.(34) Another approach where ceiling heights permit is to use the same wall fixtures without louvers above an “eggcrate” ceiling, which interferes little with airflow but intercepts stray or reflected UV ray that would otherwise reach the occupied lower room.(37)

### Air mixing.

Ceiling fan performance is characterized by the airflow rate generated, which is measured by method prescribed by the US EPA.(38) To normalize this airflow rate, it is divided by room volume, resulting value in  $\text{h}^{-1}$ , called the fan's *air turnover rate*. Although no actual airflow measurements were made for our study, the air turnover rate of the fans was calculated to be  $57 \text{ h}^{-1}$  using a computational fluid dynamics method similar to that published by Zhu.(39)

The Miller and Escombe studies cited used different approaches to air mixing and also obtained good germicidal efficacy.(14, 18, 40) While room air stagnation needs to be avoided, recent studies have confirmed earlier impressions that, within a wide range easily achieved with conventional low-velocity ceiling fans, neither the direction of airflow nor the exact air turnover rate between the upper and lower room appear to be critical

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application parameters.(41) Patient comfort under cool and warm conditions may also determine fan speed and direction. For rooms with very high ceilings, downward flow direction is more likely to avoid air stagnation in the lower room.

**Limitations:** Although sampling exhaust air from the ward accurately reflects the average infectiousness well-mixed ward air, it may not reflect transient higher local concentrations before mixing occurs and the associated risk to those working in close proximity to patients. However, in this study, tracer gas studies and airflow modeling did reveal well-mixed conditions from the ceiling fans, making high local concentrations less likely. Although the engineering parameters described can easily be achieved with commercially available equipment, regular maintenance of upper room UVGI equipment is essential to assure the predicted equivalent air changes (see on-line supplement).

**Conclusions:** This study confirms the high effectiveness of upper room UVGI with air mixing under realistic hospital conditions and defines parameters for its safe and effective application. It shows that commercially available upper room fixtures all generate useful germicidal irradiation, but vary greatly in efficiency. Because most dosing formulae have been based on nominal lamp wattage, or UV wattage, rather than total fixture output, rooms employing inefficient fixtures may be greatly under-dosed. Total fixture germicidal UV output must be known and incorporated into any dosing formula. For ceilings over 2.6 m, tightly louvered fixtures may not be needed and much more efficient fixtures can be used. Eggcrate UV is a promising, more efficient approach to upper room UVGI (37). With fixtures of any design, we recommend using either of two dosing strategies based

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on total fixture output 1) 15-20 mW/m<sup>3</sup> total fixture UV wattage delivered per room volume (with fixtures arranged for maximum ray length and upper room coverage), or 2) 5-7  $\mu$ W/cm<sup>2</sup> average UV fluence rate in the entire room calculated by a validated CAD program. (Visual™ is available for UV dose calculations at no charge through [Richard.Vincent@mountsinai.org](mailto:Richard.Vincent@mountsinai.org)) Either method requires that fixture manufacturers supply users with detailed data on the UV output of their fixtures.

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## Trial of Upper Room Ultraviolet Air Disinfection

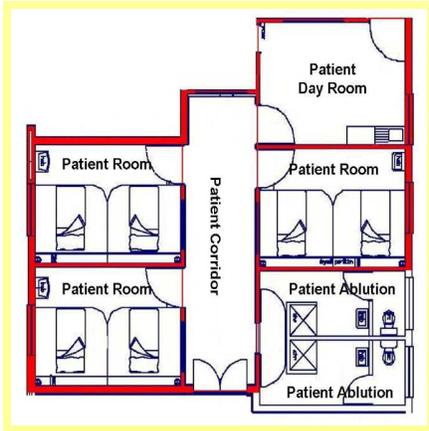
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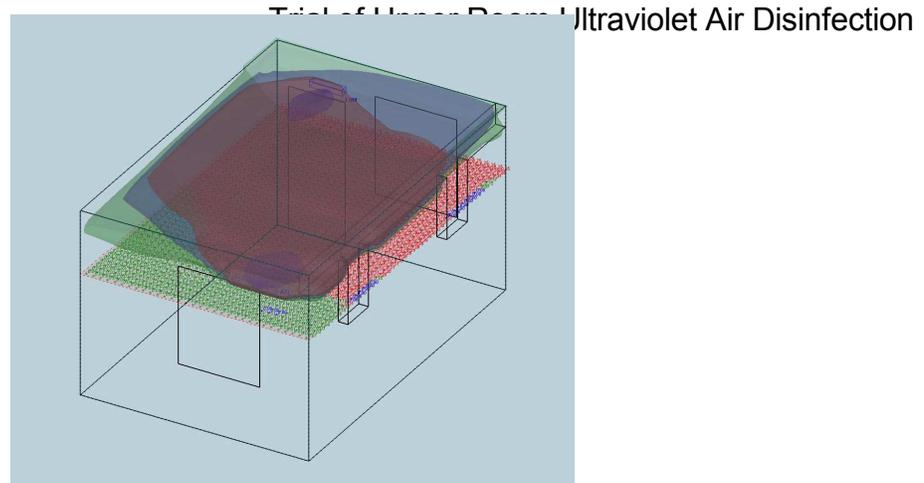
## Figures and Tables:



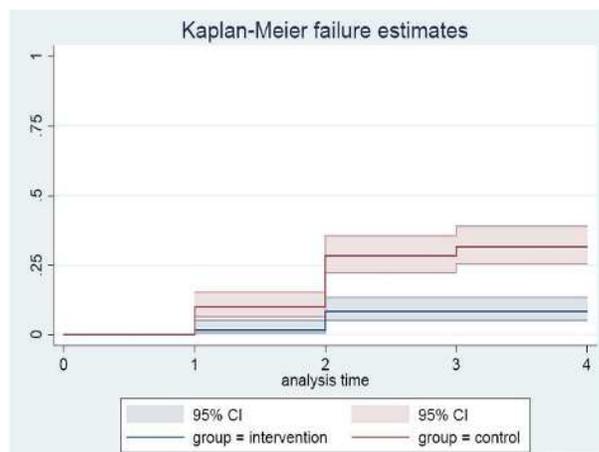
**Figure 1:** Layout of the Air facility showing three 2-bed patient rooms, corridor, and patient day room.



**Figure 2:** a) UVGI wall fixture, b) room ventilation arrangement, and c) ceiling paddle fan model in use during experiments. *Note that the photo 2a was taken wearing UV protective goggles as even brief direct exposure at close-range to upper room UVGI lamps can cause corneal inflammation.*



**Figure 3:** A computer assisted design (CAD) generated illustration estimating the UVGI distribution in one of the patient rooms in the AIR facility. The fixtures are represented by the blue ovoid structures on the near and far upper walls. The upper tri-color distribution represents 3 levels of UVGI flux in the "kill zone," whereas the lower "safety" distribution indicates peak UV fluence rates 5.5 ft from the floor.



**Figure 4:** Kaplan-Meier risk estimates of combined tuberculin skin test (TST) conversions (Y axis) of exposed guinea pigs in control and intervention chambers by month (X axis) of exposure. P value < 0.0005, Combined hazard ratio 4.9 (CI.95: 2.8, 8.6)

## Trial of Upper Room Ultraviolet Air Disinfection

TST ( > 6 mm)	Experiment 1		Experiment 2	
	Intervention	Control	Intervention	Control
Month - 1	0	1	4	17
Month - 2	0	3	12	31
Month - 3	0	5	0	1
Month - 4	0	0	-	-
<b>Total</b>	<b>0</b>	<b>9</b>	<b>16</b>	<b>49</b>

**Table 1:** the crude TST conversion rate for animals under control and UV intervention conditions by month of exposure for the of 2 sequential experiments (combined in the analysis)

***Online Supplement:***

**Institutional Tuberculosis Transmission:**

**A Controlled Trial of Upper Room Ultraviolet Air Disinfection**

*Technical Specifications and Dosing Guideline Application*

**1: Air Facility ward conditions, staffing, ventilation, humidity, and infection control.**

*Ventilation:* The Airborne Infectious Research (AIR) Facility where this study was conducted in Mumpumalanga, South Africa, functions as a *separation* ward for multidrug resistant tuberculosis (MDR-TB) patients, not as a true *isolation* ward, in the sense of isolating individual patients. According to 2011 national policies and procedures for managing MDR-TB in South Africa, separation, not *individual* isolation, of patients with MDR-TB is the norm. The policy states that the following classes of patients should be separated: newly admitted MDR-TB patients (vs. patients after 2 weeks therapy), known extensively resistant tuberculosis (XDR-TB) patients, children, and those critically ill. Natural ventilation is the norm, but if considered inadequate, window exhaust fans or mechanical ventilation is recommended to achieve 6 air changes per hour (ACH). The AIR Facility receives 6 mechanical ACH (100% outside air), and is the only mechanically ventilated ward in the hospital. The Mpumalanga MDR Tuberculosis Treatment Center has 4 other MDR wards in naturally ventilated buildings. Because Witbank (eMalalani) is at high altitude (5,354 ft.), doors and windows are often closed at night as the temperature drops, and often all day in winter. In addition, since these are single-story structures, security concerns prompt patients to close windows and doors at night. We

estimate that in the naturally ventilated wards, although not measured, air exchanges ranges from very good on some days when there is a breeze and it is warm enough to keep windows open, to very little ( $< 2$  ACH) on still days and at night or on cold days when windows and doors are closed. Ventilation at 6 ACH outside air in the AIR facility ward is assured, and generally much better than that existing in the rest of the hospital.

*Humidity.* High relative humidity (above 70%) is believed to reduce the efficacy of upper room germicidal UV air disinfection, although this concern is based primarily on laboratory experiments, not clinical trials.(1) Escombe's reported overall efficacy of 72% for a similar controlled trial of UVGI efficacy in Lima, Peru during which humidity averaged 70-90% for nearly 2 years on the mechanically ventilated ward with no cooling or dehumidification.(2) Although average outside RH in eMahalani ranged from 57 to 76% during the summer months of the study reported here, the ward was air conditioned and cooled, and the ambient humidity in the three patient rooms continuously recorded by the automated building management system rarely exceeded 50%. In a previous unpublished study we were unable to maintain humidity on the ward at greater than 70%. Therefore, the study reported in the main published article does not contribute to our understanding of the use of upper room UVGI at high humidity.

*Occupancy, hospital conditions, and infection control practices:* Subjects are recruited for transfer to the AIR facility from the main hospital soon after admission. They generally stay on the AIR facility only 2 weeks out of their average 6-month hospital stay. The 4 main MDR wards have 31 closely spaced beds each, for a total of 124 beds - half male

and half female. There are also 2 XDR wards with 13 beds (8 female, 5 male). These wards are staffed by 6 professional nurses (4 day, 2 night), 1 enrolled nurse, and 6 assistant nurses (4 day, 2 night). The AIR facility, in contrast, has 3, 2-bed rooms and a common room, providing much more personal space and considerably more privacy than on the main MDR wards. This AIR ward is staffed by one RN during the day and, for safety, an RN and practical nurse at night. There is an enclosed and separately ventilated nurse's station on the AIR facility ward that allows *supervision of the 3 rooms, corridor, and common room*. As a result of the more comfortable accommodations and much greater nursing and medical supervision, subjects are generally happy to transfer to the AIR facility, and reluctant to leave when their 2 weeks are up. In both the main MDR hospital and in the AIR facility patients are instructed on cough hygiene and all workers are instructed to use N-95 respirators when in the ward. As in many high burden settings, compliance with respirator use is often poor for a variety of reasons. Many health care workers understand that they were likely already TB-infected and fail to appreciate the risk of reinfection. In contrast, animal handlers are required to use half-face elastomeric respirators when working in the animal quarters. Based on passive surveillance, we are not aware of any TB cases among our nurses or animal workers over the 10 years that the AIR Facility has been operating.

## **2: UVGI Fixture specifications and variable output**

As noted in the main paper, the goal of this research were to test the efficacy of upper room UVGI air disinfection in a real hospital setting, under defined conditions, using the best available UVGI fixtures, but not to test any one manufacturer's product. Based on

our published test chamber experiments and fixture testing, technical specifications for wall fixtures to be used in this study were developed and candidate fixtures solicited in the USA and South Africa.(3) The key performance specifications that guided selection of the UVGI fixtures used in this study were:

1. *Upper room power* - Not less than  $250 \mu\text{W}/\text{cm}^2$ , measured with a UV-C meter one meter away from the face/opening of the fixture, on the horizontal centerline of the UVGI beam.
2. *Lower room safety* – No more than  $0.4 \mu\text{W}/\text{cm}^2$  at 2.0 m (6.5 ft) above the floor anywhere in the room, measured with a sensitive UV-C meter. UV-C fluence rates no higher than  $0.4 \mu\text{W}/\text{cm}^2$  at eye level in the lower room is consistent with published South African Guidelines and current UV safety publications.(4, 5)

*Total UV Fixture Output and Efficiency:* The two selected fixtures were: A) a custom made 110W wall fixture (Lumalier, Inc., Memphis, TN); and B) a standard 25 W Hygeaire wall fixture (Atlantic Ultraviolet Corp., Hauppauge, NY). While both louvered fixture models selected to meet defined performance specifications provided safe and highly effective air disinfection, this study confirmed earlier observations that fixture efficiency varied greatly between models.(3) Most currently available wall and suspended fixtures use closely-spaced louver systems to absorb UV radiation that would otherwise reach the occupied space, directly or by reflection from the ceiling. As a result of major design differences, the efficiency of the two selected fixture models differed greatly. (Table S1) Fixture A utilized 2-55 W compact UVGI lamps but produced only 0.22 W total radiant UV flux (efficiency 0.6%). Fixture B utilized 1-25.6 W linear UVGI lamp but produced 0.49 W total

radiant UV flux (efficiency 5.7%). With louvers removed fixture B was still more than twice as efficient as fixture A, because of a more effective parabolic reflector behind an optically more desirable linear lamp compared to the folded compact lamp in fixture A. Although fixture output differences had been reported previously, the full implications of efficiency differences for dosing strategies had not been fully appreciated.(3) Clearly, fewer fixtures and less electricity will be required for room installations using more efficient fixtures. Moreover, conventional dosing guidelines for the number of UV fixtures per room have commonly been based on nominal electrical or UV power, not total fixture UV output, resulting in radically different numbers of fixture recommendations based on different dosing formulas. Using Riley's 30 nominal W/200 /ft<sup>2</sup> area guideline, for example, only one 110 W model A fixture would be recommended for the entire AIR facility (see full paper), but it would produce only 0.2 W total output, whereas five 25 W model B fixtures would be recommended for the same application, producing approximately 2.5 W, a greater than ten-fold difference.(6) With the NIOSH guideline of 6 total UV W/m<sup>3</sup> of upper room volume, approximately 7 model A fixtures would be specified for the AIR facility, but produce only 1.5 W total output (half that used in this study), but 29 of the more efficient B model fixtures would be specified, producing 14 W, nearly 5 times the output actually required.[7] Our proposed guidelines, based on total fixture UV output per room volume, incorporates fixture efficiency and eliminates these dosing aberrations.

### **3. Examples of applying the recommended UVGI dosing strategies in relatively small and large rooms:**

The 15-20 mW/m<sup>3</sup> dosing strategy was derived from the AIR Facility experiment, a space with a series of relatively small 2 bed rooms (40.5 m<sup>3</sup> each) and a somewhat larger

corridor (50.6 m<sup>3</sup>). In much larger rooms, due to the benefits of longer UVGI ray length, and depending on the reflectance of surfaces, this formula will result in somewhat higher average UVGI fluence rates, which should be beneficial in large rooms, especially those with high ceilings where reflectance into the lower room is not a problem. The second dosing strategy, using Visual-UV, gives more precise guidance, taking into account actual room shape, volume, as well as fixture location, output distribution, and estimated reflectance. Below are two examples of the application of both proposed dosing strategies.

*a) Small room - simple dosing method requiring only total UV fixture output:*

A 54 m<sup>3</sup> room (3 m x 6 m x 3 m high) would require 15-20 mW/m<sup>3</sup>, or 810-1080 mW total germicidal UV output wattage. Fixture B generates approximately 500 mW so two fixtures would achieve the desired dose. In a rectangular room they would be installed on opposite short (3 m walls) for maximum ray length, and staggered (not exactly opposite each other) for the most even UVGI distribution, as illustrated in Fig S1. Based on this calculation, two fixtures could be installed at approximately 2.1 m above the floor. Before use the room would be spot checked (part of commissioning) for locations in the occupied space where eye levels exceed 0.4 mW/m<sup>3</sup>, the 4-hour continuous stare-time exposure limit.[4] Where prolonged stare time is unlikely, higher local measurements can be tolerated, well within the ACGIH TLV. [5]

*Visual-UV CAD method:* For greater precision (incorporating ray length, room configuration, fixture locations, and lower room fluence rate estimates), Visual-UV can be used, but requires full gonioradiometric data for the fixtures being used. In this simple, rectangular room, the two staggered fixtures (model B) at 2.1 m above the floor on the

opposite short walls (longer ray length) result in an average whole room UVGI fluence rate of  $6.97 \mu\text{W}/\text{cm}^2$ , within the proposed 5-7  $\mu\text{W}/\text{cm}^2$  target range. If placed on the opposite long walls (shorter ray length) the predicted average fluence rate is  $5.60 \mu\text{W}/\text{cm}^2$ , about 24% less. In this small room, average UVGI fluence rate is higher if both fixtures are centered on opposite walls due to UVGI absorptive loss by impacting the closest lateral wall, but more “hot spots” are produced, and optimal air disinfection becomes more dependent on good air mixing.

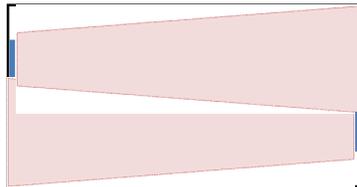
b) *Large room:* A large room of  $150\text{m}^3$  (5 x 10 x 3 m) would require 15-20  $\text{mW}/\text{m}^3$ , or a total of 2250-3000 mW. This would require 5 model B louvered wall fixtures (producing 500 mW each), evenly spaced and staggered on opposing 5 m walls to produce as even a distribution as possible. If the room specifications and full gonioradiometric data for the fixture are used with the Visual-UV CAD program, an average UV fluence rate for the entire room of  $8.3 \mu\text{W}/\text{cm}^2$  is predicted due to longer average ray length. Although higher than the 5-7  $\mu\text{W}/\text{cm}^2$  dose used in the AIR Facility experiment, reducing the number of fixtures from 5 to 4 results in predicted average UVGI fluence rates within the target range. Either 4 or 5 fixtures would produce high rates of air disinfection, the decision dictated by considerations of airborne infection risk, fixture installation and operating costs, and UV fluence rates at eye level in the lower room.

*Higher ceilings:* With higher ceilings (over 3 m), it is possible to safely use fixtures with less restrictive louvers (or no louvers at all above an “eggcrate” ceiling), greatly increasing total fixture output and reducing the number of fixtures required.[8] This is because unlouvered fixtures can have many times the total UV output of louvered fixtures.[3] For

example, the same 5 m x 10 m room with a 4 m high ceiling (volume 200 m<sup>3</sup>) would require seven 500 mW fixtures (3 – 4 total W) based on the 15-20 mW/m<sup>3</sup> formula, but since the same unlouvered fixture has much greater total UV output (4.2 W), just one wall fixture could be safely used above an eggcrate ceiling. The eggcrate ceiling helps prevent reflected UV rays from entering the occupied level of the room, but spot checks with a sensitive UV meter are still needed.(7)

*Maintaining UVGI-air mixing systems: The above guidelines are intended to allow engineers to produce highly effective air disinfection systems. However, it is common to find even well designed UVGI fixtures poorly maintained in hospitals and clinics, with lamps coated with dust, fixtures full of dead bugs, and low-velocity ceiling fans turned off, or not present at all. Effectiveness of these systems is dependent on good maintenance as well as good design. Maintenance is not difficult, but must be regularly done by a trained technician. Fixtures should be turned off (to avoid eye injury) and lamps carefully cleaned with 70% alcohol every 1 to 3 months depending on the dustiness of the environment. Lamps should be replaced when irradiance (measured by a UVC photometer at the same exact spot for each fixture) falls below 67% of the initial values measured after a 100 hour “burn in” (8)*

### Figures and Tables:



**Figure S1:** Suggested layout of two fixtures in an oblong room to achieve both optimal distribution and maximum estimated ray length.

	Total Electrical Input	UV Generated	UV Output from Fixture	UV Efficiency (UV Output/UV generated)	Total Efficiency (UV Output/Total Electrical Input)
Fixture A	110 W	36.7 W	0.22 W	0.6 %	0.2 %
Fixture B	25.6 W	8.57 W	0.49 W	5.7 %	1.9 %

**Table S1:** Fixture efficiency based on testing at the U. Pretoria, Prof. Wilhelm Leushner's laboratory.

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