

1 Strategies to Accelerate HIV Care and Antiretroviral Therapy Initiation Following HIV Diagnosis: a  
2 Randomized Trial

3 Running: Accelerated linkage to care for HIV

4

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## 20 Abstract

### 21 Objective

22 Determine the effectiveness of strategies to increase linkage to care following testing HIV positive at  
23 mobile HIV testing in South Africa.

### 24 Design

25 Unmasked randomized controlled trial.

### 26 Methods

27 Recruitment of adults testing HIV-positive and not currently in HIV care occurred at seven mobile HCT  
28 units in urban, peri-urban, and rural South Africa with those consenting randomized 1:1:1:1 into one of  
29 four arms. Three strategies were compared to standard of care (SOC): point-of-care CD4 count testing  
30 (POC CD4), POC CD4 plus longitudinal strengths-based counselling (care facilitation; CF), and POC CD4  
31 plus transport reimbursement (transport). Participants were followed-up telephonically and through  
32 clinic records and analyzed with an intention to treat analysis.

### 33 Results

34 From March 2013 to October 2014, 2,558 participants were enrolled, of whom 160 were excluded post-  
35 randomization. Compared to the SOC arm where 298 (50%) reported having entered care, linkage to  
36 care was 319 (52%) for POC CD4, hazard ratio (HR) 1.0 [95% confidence interval (CI): 0.89, 1.2, p=0.6];  
37 331 (55%) for CF, HR 1.1 (95% CI: 0.84, 1.3, p=0.2); and 291 (49%) for transport, HR 0.97 (95% CI: 0.83,  
38 1.1, p=0.7). linkage to care verified with clinical records occurred for 172 (29%) in the SOC arm; 187  
39 (31%) in the POC CD4 arm, HR 1.0 (95% CI: 0.86, 1.3, p=0.6); 225 (38%) in the CF arm, HR 1.4 (95% CI:  
40 1.1, 1.7, p=0.001); and 180 (31%) in the transport arm, HR 1.1 (95% CI: 0.88, 1.3, p=0.5).

### 41 Conclusions

42 Care facilitation improved verified linkage to care from 29 to 38%.

43 Key words: HIV; linkage to care; counseling; transportation; randomized trial; Africa

44

## 45 Introduction

46 HIV treatment reduces HIV related illness, HIV-associated deaths, and has the potential to end the AIDS  
47 epidemic through reducing HIV transmission.<sup>1</sup> Success with reducing HIV morbidity, mortality, and  
48 transmission depends on the combination of HIV diagnosis early after infection and rapid initiation of  
49 antiretroviral therapy (ART).<sup>2-5</sup> Considering these factors, the World Health Organization, UNAIDS, and  
50 other global and national bodies, including the government of South Africa, have endorsed policies to  
51 provide ART to all people living with HIV.<sup>6,7</sup>

52 In many regions of the world, many or most of those living with HIV have failed to engage in care. In  
53 South Africa, 86% of people living with HIV are estimated to be aware of their status<sup>8</sup>, but only a third of  
54 those diagnosed are receiving ART, even among those who were ART eligible.<sup>9,10</sup> This attrition between  
55 testing and ART initiation occurs due to the substantial attrition between testing HIV positive and  
56 engaging in HIV care<sup>11</sup>. Denial of HIV diagnosis, fear of morbidity from HIV disease, lack of health self-  
57 efficacy, inadvertent disclosure of status associated with seeking care, seeking alternative forms of  
58 healing, cost of travel to and from clinic, and burdens of wait time and clinic enacted stigmatization all  
59 contribute to the failure of people diagnosed with HIV to link to care.<sup>12,13</sup> Despite the catalogue of  
60 factors associated with this failure, there are few demonstrated effective approaches to improve the  
61 transition from testing HIV positive to clinic engagement and ART initiation.<sup>12,14</sup>

62 We sought to address the failure to engage in care by aligning known individual-level barriers with  
63 pragmatic strategies for individuals testing HIV positive at mobile HIV counseling and testing (HCT) units.  
64 Mobile HCT, as well as other non-facility approaches to HIV testing, is increasing in importance with  
65 greater efforts to reach the untested and undiagnosed groups who may not be ill enough to seek acute  
66 care at a clinic or hospital.<sup>15,16</sup> To engage individuals testing HIV positive in care, we adapted approaches  
67 of point-of-care CD4 (POC-CD4) count testing, strengths-based case management, and transport  
68 assistance.<sup>17-20</sup> We hypothesized that combinations of engagement strategies may be necessary to

69 overcome barriers; thus, we paired counselling and transport assistance with POC-CD4 count testing in  
70 addition to a POC-CD4 only arm and a standard of care arm. In this randomized trial we assessed  
71 whether these strategies decreased (i) time to linkage to care within 90 days and 180 days and (ii)  
72 mortality within 180 and 365 days of enrollment and (iii) increased ART initiation within 180 days of  
73 enrollment.

74

## 75 Methods

### 76 Study design

77 This was an individually randomized pragmatic trial.<sup>21</sup> Seven mobile HCT units were deployed in two  
78 districts in South Africa, a rural district and an urban / peri-urban district. The mobile units were  
79 deployed in communities, workplaces, commercial shopping areas, and public events as part of routine  
80 HCT service delivery. HCT procedures were standardized across units, provided free-of-charge,  
81 performed by trained counsellors, and followed South African National HCT Policy Guidelines. Small  
82 incentives were provided for HIV testing (value \$0.25-\$1.00). Following testing HIV positive, participants  
83 were encouraged to receive care at the most convenient government or private clinic (over 200 in the  
84 areas where the mobile HCT units were deployed). During the period of recruitment the national ART  
85 initiation threshold was a CD4 count of <350 cells/mm<sup>3</sup>. This study adhered to the Declaration of  
86 Helsinki and was approved by the University of the Witwatersrand Human Research Ethics Committee,  
87 the Johns Hopkins University School of Medicine Institutional Review Board, the London School of  
88 Hygiene & Tropical Medicine Research Ethics Committee, and research committees of Ekurhuleni  
89 District and Limpopo Province, South Africa. **The full protocol is available as S1 Appendix.**

### 90 Participants

91 Clients were eligible to participate if they tested HIV-positive (regardless of prior HIV testing), were ≥18  
92 years old, capable of providing informed consent, reporting not currently receiving HIV-related care, and  
93 anticipating remaining in South Africa for at least six months for follow-up. All participants completed  
94 written informed consent prior to enrollment.

### 95 Randomization and masking

96 Participants were randomized in the ratio of 1:1:1:1 into four study arms using random block sizes and  
97 stratified by the seven mobile HCT units. Study assignments were generated by the trial statistician and  
98 were placed in sealed opaque envelopes with participant identification numbers on the outside.  
99 Research assistants sequentially assigned participant identification numbers and opened the envelope in

100 the presence of the participant. Due to the behavioral nature of the strategies and need for the  
101 research assistant to explain strategy specific procedures, the assignment arm was unmasked from the  
102 participant and the field worker enrolling the participant. The randomization arm was masked to  
103 research staff collecting outcome data and the investigators prior to the final analyses.

#### 104 [Procedures](#)

105 *Standard of care:* In the standard of care (SOC) arm, participants were counseled on the importance of  
106 HIV care and provided a referral letter to the clinic closest to their place of residence or the clinic of their  
107 choice.

108 *POC-CD4 count testing:* This included the standard of care as well as a portable battery-powered POC-  
109 CD4 test platform (PIMA, Alere Inc. Waltham, Massachusetts, USA) which used capillary blood to  
110 provide CD4 count enumeration within 20 minutes. Following testing, the participant received printed  
111 results and counselling on the health implications. We hypothesized that knowledge of CD4 count and  
112 the health implications of that value would convince skeptical participants of the HIV diagnosis and  
113 motivate participants to link to care.

114 *Care facilitation:* This included the standard of care, POC CD4 count testing, and up to five care  
115 facilitation sessions. The counselling sessions were discontinued after five sessions had occurred, 90  
116 days had passed since enrolment, or the participant requested stopping. The counselling was structured  
117 around modified strengths-based counselling based on the United States Centers for Disease Control  
118 and Prevention (CDC) antiretroviral treatment and access to services (ARTAS) counselling approach.<sup>18</sup>  
119 Care facilitators had formal training as either a social worker or auxiliary social worker and received two  
120 days of didactic and practical training in strengths-based case management and ongoing assessments  
121 and coaching. After a participant was randomized to this arm, the research assistant contacted a care  
122 facilitator via cell phone to introduce the participant to the care facilitator. Subsequently the care  
123 facilitator and participant arranged times and places for counselling sessions, either telephonic or in-

124 person. We hypothesized that individualized strengths-based counseling could assist participants in  
125 overcoming concerns and uncertainties around HIV status disclosure, internalized stigma, and linkage to  
126 care.

127 *Transport reimbursement:* This included the standard of care, POC CD4 count testing, and  
128 reimbursement for travel to a clinic at a standard rate of US\$6 for urban or peri-urban and US\$10 for  
129 rural residents for up to three clinic visits within 90 days of randomization. Following a participant  
130 notifying that they had visited a clinic (using a toll-free number or text message), reimbursement was  
131 made through cell phone transfer, automated teller machine, or a designated grocery store chain. We  
132 hypothesized that limited financial resources for transport may be a barrier to linkage to care.

133 Baseline characteristics, locator information, and national identification number were obtained  
134 following randomization. For study follow-up, participants were contacted telephonically at 30 and 60  
135 days to verify contact information and after 90 days and 180 days to ascertain care status. Telephonic  
136 contact was attempted at least three times, at different times of the day and on different days. When  
137 the participant was not reached and next-of-kin telephone numbers were available, contact via the next-  
138 of-kin was attempted at least three times, at different times of the day and on different days. Home  
139 visits were attempted for all participants with unsuccessful telephonic contact. At least three attempts  
140 were made to visit the reported, or updated, place of residence.

141 Clinical records were reviewed for all participants who reported linkage to care. Clinical records  
142 included clinic paper records, electronic records, or national laboratory system electronic laboratory  
143 results. If no records were located, the participant was re-contacted to ask whether care entry  
144 occurred, asked again at which clinic, and asked about different names that may have been used to  
145 register for care. Electronic district health and laboratory records (not clinic specific) were also searched  
146 for participants unable to be contacted via telephone or home visits. Linkage to care was considered



147 verified if any clinical records indicated an HIV related clinic visit. Finally, national identification  
148 numbers were periodically matched with the South African national population registry to identify  
149 participants who had died.

## 150 Outcomes

151 Linkage to care was defined as receiving HIV-specific care at any allopathic medical facility in South  
152 Africa. Participants without care status data (self-report of verified) were classified as having linked to  
153 care. The primary outcome was time to linkage to care, by self-report, within 90 days of enrollment.  
154 Secondary outcomes were time to linkage to care as verified by clinical records within 90 days, and time  
155 to death 90, 180, and 365 days from enrollment. We also assessed self-reported and verified ART  
156 initiation within 180 days (regardless of eligibility criteria), all as *a priori* exploratory outcomes. Given a  
157 hypothesis that the interventions may benefit some demographic groups more than others, we planned,  
158 *a priori*, to assess for interactions between study arm and the following subgroups for the primary  
159 outcome: sex, age group ( $\leq 30$ / $> 30$  years), urban or rural residence, employment status, distance from  
160 the place of residence to the nearest or preferred clinic ( $< 5$ km/ $\geq 5$ km), self-reported cost of travel to the  
161 clinic ( $>$ / $\leq$ US\$2), and presence of symptoms at enrollment.

162 Distance from a participant's residence and the nearest clinic was calculated using the Haversine  
163 Formula by inputting GPS coordinates of the place of residence (based on an estimate using Google  
164 Earth) and the GPS coordinates of the nearest clinic or favored clinic as stated by the participant.<sup>22</sup>

## 165 Statistical analysis

166 The sample size was calculated to identify a 15% or greater increase in linkage to care; an increase that  
167 may be meaningful from a policy perspective. Assumptions for calculating the sample size were that  
168 40% of participants in the standard of care arm would enter care by 90 days, a conservative type I error  
169 as low as 1.67% (equivalent to 5% Bonferroni correction for multiple comparisons), and loss from study  
170 follow-up of 10% of participants.<sup>11,23,24</sup> Under these scenarios, a sample size of 625 participants per arm

171 would achieve greater than a 90% power to detect a 15% or greater difference between the standard of  
172 care arm and any one of the three strategy arms.

173 Analysis was based on intention-to-treat, including all randomized participants, except for those  
174 excluded post-randomization due to confirmation that they were already in HIV care prior to study  
175 enrollment. We used Kaplan-Meier curves to graph the cumulative risk for linkage to care and ART  
176 initiation outcomes. For the primary outcome we used Cox proportional hazards regression with three  
177 pairwise comparisons of each of the three intervention arms versus standard of care, adjusting for  
178 randomization strata (mobile unit). Proportional hazards assumptions were tested using log-log plots  
179 and Schoenfeld residuals. A secondary analysis was planned adjusting for any major imbalances by  
180 study arm, with the exception of mode of transport to clinic because of likely reporting bias as the  
181 question was asked after randomization. Time at risk was measured from date of randomization to  
182 earliest of (i) date of linkage to care; (ii) date of death; or (iii) 90 days after enrollment. Participants  
183 without follow-up were considered not to be in care or on ART at the 90 or 180 day time point.  
184 Secondary and exploratory outcomes were similarly assessed.

185 Stata 13 was used for all analyses (STATA Corp. College Park, Texas, USA). This trial is registered with  
186 ClinicalTrials.gov, NCT02271074 and the South African National Research Ethics Council DOH-27-0713-  
187 4480.

#### 188 [Role of funding source](#)

189 The sponsor of the study had no role in the design of the original study protocol, data collection, data  
190 analysis, data interpretation, writing of the report, or decision to submit the manuscript for publication.  
191 CJH, TM, SG, and KLF had full access to all the data in the study. CJH had final responsibility for the  
192 decision to submit for publication, and all authors approved the decision to submit.

193

## 194 Results

195 From 13 March 2013 to 30 October 2014, 3,739 adults tested HIV-positive at the mobile HCT units,  
196 2,930 were screened for eligibility, and 2,711 (92%) met eligibility criteria. Primary reasons for  
197 ineligibility were not being part of the strategy target population because they were already receiving  
198 HIV care (129; 4.4%) or that they expected to be unavailable for follow-up (expecting to leave South  
199 Africa within 6 months; 75; 2.5%). Of the 2,711 who were eligible, 2,558 gave consent (94%) and were  
200 randomized (**Figure 1**). After randomization, 152 participants were identified as being in care at the  
201 time of enrolment and eight to have a second enrolment in the study; they were excluded from all  
202 analyses. We were able to contact or find clinical records for 2,133 participants (89%) to determine  
203 linkage to care status at 90 days post-enrollment (range 88 to 90% by study arm; chi square test for  
204 difference by study arm,  $p=0.7$ ).

205 Overall 1,472 (61%) participants were female, the median age was 33 years (interquartile range, [IQR]:  
206 27, 41), the median distance from place of residence to a clinic was 4.0 km (IQR: 1.5, 12), and 959 (40%)  
207 participants reported reaching the clinic from their residence by walking (**Table 1**). Among participants  
208 in the three study arms that received POC-CD4 count testing, the median CD4 count was 427 cells/mm<sup>3</sup>  
209 (IQR: 287, 595); 629 (35%) had a CD4 count <350 cells/mm<sup>3</sup> meeting South African ART initiation criteria  
210 in place during enrollment. The baseline characteristics were balanced overall by study arm with the  
211 exception of reported mode of transport to a clinic.

212 Overall, 1,239 (cumulative risk 52%) participants self-reported linkage to care by 90 days at 272 different  
213 clinics; 298 (50%) for SOC, 319 (52%) for POC-CD4 count, 331 (55%) for care facilitation, and 291 (49%)  
214 for transport reimbursement. Compared to standard of care, there were no differences between  
215 strategy arms (**Table 2 & Figure 2**). We found no subgroup differences by study arm ( $p$  for interactions  
216 all > 0.1; **S2 Appendix**).

217 For the outcome of verified linkage to care by 90 days, 172 (29%) participants had verified care entry in  
218 the standard of care arm, 187 (31%) in the POC CD4 arm, 225 (38%) in the care facilitation arm, and 180  
219 (31%) in the transport reimbursement arm (**Figure 3**). Hazard ratios were as follows: POC CD4 count, 1.0  
220 (95% CI: 0.86, 1.3; p=0.6); care facilitation, 1.4 (95% CI: 1.1, 1.7; p=0.001), and transport reimbursement  
221 1.1 (95% CI: 0.88, 1.3; p=0.5), all versus the SOC arm (**Table 2**). The effect of each intervention on 180  
222 day self-reported and verified linkage to care was similar to the effect measured over 90 days (**Table 2**).  
223 Variation in percentage of participants reporting unverified entry ranged from 17-21% by study arm (chi-  
224 square for difference: p=0.2).

225 Forty patients died within a year of enrollment (six within the first 90 days). We found no difference  
226 between study arm and mortality (**S2 Appendix**).

227 By 180 days after enrollment, 373 participants (15%) had verified ART initiation. For verified ART  
228 initiation, the hazard ratios were 1.2 (95% CI: 0.91, 1.6; p=0.2) for POC CD4 count, 1.4 (95% CI: 1.1, 1.9;  
229 p=0.02) for care facilitation; and 1.2 (95% CI: 0.89, 1.6; p=0.2) for transport reimbursement, versus the  
230 SOC arm (**Table 2**). Among the 629 participants in the POC CD4 count arms meeting the ART initiation  
231 threshold ( $CD4 < 350 \text{ cells/mm}^2$ ), 207 (33%) had verified ART initiation by 180 days from enrollment.

232 Considering uptake of the strategies, POC-CD4 count test results were delivered on the same day to  
233 1,764 of the 1,807 (98%) participants in POC-CD4 count testing arms. Of the participants in the care  
234 facilitation arm, 377 (62%) requested and received at least one session, 218 (36%) had two or more  
235 sessions, and 101 (17%) had three or more sessions. Of the 758 total sessions, 69% were face-to-face  
236 and 31% were telephonic. Among participants in the transport reimbursement arm 285 (48%)  
237 submitted at least one transport claim; 67% of those with self-reported and 74% of those with verified  
238 90 day linkage to care. Reasons for not requesting reimbursement included residing close enough to  
239 walk to the clinic and not understanding the procedures for reimbursement.

## 240 Discussion

241 Increasing ART initiation following HIV diagnosis, especially following diagnosis in non-clinic sites such as  
242 mobile HCT units, is essential to reach asymptomatic individuals, men, and youth to achieve targets for  
243 HIV treatment and prevention<sup>16,25-28</sup>. This has become especially important with universal test and treat  
244 policies, including the policy introduced in 2016 in South Africa.<sup>29</sup> Engagement in care following  
245 diagnosis is necessary to deliver the potential of test and treat to reduce illness, death, and HIV  
246 transmission. In this study of 2,398 people testing positive for HIV in mobile units across rural, peri-  
247 urban, and urban South Africa, only 52% self-reported initiating HIV care, and only 29% had clinic  
248 verified linkage to care within 90 days. None of the tested strategies improved the primary outcome of  
249 self-reported time to linkage to care. Using the outcome of clinically verified linkage to care, POC CD4  
250 plus care facilitation lead to a 40% increase in linkage to care by 90 days (HR 1.4, p=0.001, versus  
251 standard of care).

252 These results provide a generalizable description of large attrition in the care continuum following  
253 testing HIV positive at non-clinic sites. Linkage to care was lower than previously reported following  
254 clinic-based HIV testing<sup>11,30</sup> though consistent with studies of linkage to care following mobile and  
255 household HCT.<sup>23,30,31</sup> There are several reasons why mobile compared to clinic-based HCT may achieve  
256 lower rates of linkage to care. In clinic-based HCT, individuals seeking care are usually symptomatic,  
257 creating a motivation to initiate treatment to relieve symptoms<sup>26,27</sup>. Equally important, the individual  
258 has overcome initial barriers to clinic entry when seeking acute care or HIV testing at the clinic. Despite  
259 the lower linkage to care following mobile testing, mobile and other non-clinic based testing, when  
260 compared to clinic-based testing, generally reach a larger proportion of asymptomatic individuals, those  
261 with higher CD4 counts, men, and young adults.<sup>13</sup>

262 In this study, self-reported linkage to care was notably higher than verified linkage to care. This  
263 difference may be attributable to participants misrepresenting their care status as was acknowledged by

264 some participants at follow-up interviews and has previously been reported.<sup>31,32</sup> Over-reporting of  
265 linkage to care may have been driven by the social desirability bias.<sup>33</sup> It is also possible that clinical  
266 records were not located for all participants who had successfully linked to care. The use of three  
267 distinct sources of verification minimized, but likely did not eliminate, this problem.

268 This study has several limitations. One is that participant self-report appeared to over-ascertain linkage  
269 to care. Given the suggestion of misreporting by participants, verified linkage to care may be more  
270 accurate. A key strength is that we did verify linkage to care by contacting participants and conducting  
271 paper record and electronic record searches at over 200 clinics. An additional potential limitation is that  
272 we made contact with participants at 30 and 60 days following enrollment, contact that may have  
273 increased linkage to care, particularly in those arms without ongoing scheduled contact. In addition, not  
274 all participants in the care facilitation and transport reimbursement arms utilized care facilitation or  
275 made reimbursement claims. This was partly due to difficulties in receiving reimbursement and  
276 challenges in having care facilitation sessions, either due to lack of transport or access to a phone.  
277 Important strengths of the study are its large sample size relative to other studies of linkage to care in  
278 the global South, 95% enrollment among eligible individuals, the number of clinics involved, and the  
279 geographic diversity of the population covered.

280 The findings of this study are particularly relevant in South Africa where HIV programs are adopting  
281 universal treatment for all people living with HIV. Identifying effective approaches to engaging  
282 individuals in care is essential to achieve ART initiation and retention on ART. Through the longitudinal  
283 counselling provided in the care facilitation arm that started before, or at the time of a care visit or ART  
284 initiation, we have demonstrated an approach to increasing care engagement and ART initiation. The  
285 implications for program implementers and policy makers include the potential role of longitudinal  
286 tailored interpersonal communication to achieve improved care engagement. We studied  
287 communication delivered independently from clinics; however, approaches of integrating counselling

288 with traditional clinical care or community-based care and ART delivery may be a more efficient and fits  
289 with current approaches to expedite ART initiation. While there are likely ancillary benefits of POC CD4  
290 count testing and transport reimbursement, our results suggest that neither were an effective strategy  
291 to improve linkage to care or ART initiation in this setting. Finally, achieving the ambitious target of 90%  
292 of diagnosed patients entering into care and initiating ART will likely require multiple approaches that  
293 address a spectrum of barriers, including lack of patient self-efficacy, community level stigma, and clinic  
294 and health service delivery challenges. Future research needs to assess strategies for linkage to care  
295 that address multiple levels, including individual counselling and improved clinical service delivery.<sup>34</sup>  
296 Research questions emerging directly from this work include whether care facilitation can be further  
297 optimized to increase linkage to care, how it is best delivered in a universal test and treat setting, and  
298 whether group care facilitation or other forms of health communication could also be successful.

299 In summary, this trial suggests that strengths-based longitudinal care facilitation may improve care  
300 engagement and ART initiation, but also illustrates the challenges of linking and retaining newly-  
301 diagnosed patients into care. As South Africa and other low and middle income countries diagnose  
302 more people living with HIV through mobile, house hold, and self-testing and adopt ART treatment for  
303 all people living with HIV, there is an even more pressing need to find ways to engage asymptomatic  
304 individuals in care.

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## 393 Other Information

### 394 Contributors

395 CJH: conceptualized the study, acquired funding, supervised study implementation, completed formal  
396 analysis, and wrote the original draft of this manuscript; TM: contributed to conceptualization, managed  
397 data curation, administered study activities, and reviewed and edited manuscript drafts; SG: contributed  
398 to the formal analysis; KLF: was the study statistician, conceptualized the statistical approach, reviewed  
399 all statistical output, interpreted results, and reviewed and edited manuscript drafts DD: conceptualized  
400 components of the analysis plan and reviewed and edited manuscript drafts; GJC: managed stakeholder  
401 engagement and reviewed and edited manuscript drafts; SC contributed project administration,  
402 managed stakeholder engagement, and reviewed and edited manuscript drafts.

### 403 Conflicts of interest

404 We declare no conflicts of interest.

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416 [Tables and Figures](#)

417 Table 1: Baseline demographics by group

418 Table 2: Primary and secondary outcomes

419 Figure 1: Trial profile

420 Figure 2: Kaplan-Meier for 90 day self-reported linkage to care

421 Figure 3: Kaplan-Meier for 90 day verified linkage to care

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423 [Supplemental Digital Content](#)

424 S1 Appendix: Study Protocol.pdf

425 S2 Appendix: Subgroup and Mortality Results.pdf

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