

Human Papillomavirus Type 16 Infection and Squamous Cell Carcinoma of the Head and Neck in Never-Smokers: A Matched Pair Analysis¹

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ABSTRACT

Purpose: Infection with human papillomavirus (HPV) type 16 has been suggested to be a risk factor for squamous cell carcinoma of the head and neck (SCCHN) and to be more commonly associated with SCCHN occurring in the oropharynx and in never-smokers. We hypothesized that HPV-16 exposure, as evidenced by seropositivity, is a risk factor for SCCHN and may be of particular importance in never-smokers.

Experimental Design: To test this hypothesis, we conducted a hospital-based case-control study of 120 patients with SCCHN (60 never-smokers and 60 matched smokers) and 120 cancer-free matched controls. We compared the presence of HPV-16 antibodies in ever-smoker and never-smoker patients matched on age (± 5 years), sex, and tumor site. Each patient was also matched with a corresponding ever-smoker or never-smoker cancer-free control on age (± 5 years) and sex. Serum was collected from study subjects and assayed for IgG reactivity to HPV-16 L1 virus-like particles by using an ELISA.

Results: Forty-nine of the 120 case subjects (40.8%) but only 11 (9.2%) of the control subjects tested positive for HPV-16 antibodies (adjusted odds ratio, 6.69; 95% confi-

dence interval, 3.01–14.90). Among cases, HPV-16 seropositivity was more common in those with oropharyngeal cancer (41 of 70, 58.6%) and poorly differentiated tumors (25 of 43, 58.1%). HPV-16 seropositivity was associated with a significantly increased risk of oropharyngeal cancer (adjusted odds ratio, 59.53; 95% confidence interval, 5.71–620.20). Whereas HPV-16 seropositivity was more common in never-smokers with SCCHN than in ever-smokers (43.3% versus 38.3%, respectively), this difference was not statistically significant.

Conclusions: HPV-16 infection is associated with a significant increased risk for oropharyngeal cancer but not oral cavity cancer. Furthermore, HPV-16 infection does not appear to be more common in never-smokers than ever-smokers with SCCHN.

INTRODUCTION

Tobacco and alcohol are well-established risk factors for SCCHN,³ but SCCHN also develops in individuals who have never smoked. HPV-16 has been established as an etiological agent in cervical cancer (1–6), and more recently, several investigators have suggested that infection with HPV (especially the high-risk types HPV-16 and HPV-18) is a risk factor for SCCHN (7–10). Numerous studies using methods such as PCR, Southern blotting, and *in situ* hybridization have detected HPV DNA in the tumor tissue and sera of SCCHN patients (11, 12). However, because these studies did not include cancer-free controls, most of these studies were unable to estimate the risk of SCCHN attributable to HPV-16. Whereas some studies have assessed HPV-16 DNA positivity in the mucosa of cancer-free controls (13, 14), the absence of viral DNA in normal mucosa may not be an accurate indicator of past exposure (15, 16) because HPV DNA can be cleared from normal mucosa (17).

In 1994, an ELISA for detecting HPV-16 VLPs was developed (18). VLP ELISAs have been validated as type-restricted measures of past and present infections (19). Such serological assays may be better than HPV DNA detection for epidemiological studies in which cumulative exposure to specific HPV types is relevant. Serological assays are also not subject to sampling bias, unlike DNA-based assays involving biopsy material.

Recent investigations suggested that the association between cancer and HPV-16 infection may depend on the tumor site within the head and neck region, with oropharyngeal cancers having the highest rates of HPV-16 DNA and seropositivity

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³The abbreviations used are: SCCHN, squamous cell carcinoma of the head and neck; HPV, human papillomavirus; VLP, virus-like particle; pRb, retinoblastoma protein; OR, odds ratio; CI, confidence interval.

Table 2 Matched pair analysis of HPV-16 serological status and SCCHN risk estimates

Case	Control		OR ^a (95% CI)	Adjusted OR ^b (95% CI)	Adjusted OR ^c (95% CI)
	HPV-16+	HPV-16-			
HPV-16+	3	46	5.75	6.21	6.69
HPV-16-	8	63	(2.71–12.18)	(2.83–13.61)	(3.01–14.90)
Never-smokers					
HPV-16+	1	25	5.00	5.30	5.54
HPV-16-	5	29	(1.94–13.06)	(1.95–14.37)	(2.01–15.29)
Ever-smokers					
HPV-16+	2	21	7.00	9.87	9.20
HPV-16-	3	34	(1.98–22.43)	(2.26–43.13)	(2.11–40.13)

^a Conditional logistic regression analyses on matching variables.

^b Conditional logistic regression analyses on matching variables, adjusted for alcohol status.

^c Conditional logistic regression analyses on matching variables, adjusted for alcohol and cotinine level.

their corresponding 95% CIs for HPV-16 seropositivity were calculated. For the case-control matched pairs, the ORs were calculated after adjusting for alcohol status and cotinine level and stratified by smoking. Exact conditional logistic regression was completed when data were highly unbalanced (risk for oropharyngeal cancer only). For the case-case matched pairs, the ORs were calculated after adjusting for alcohol status and cotinine level and stratified by cancer site. χ^2 analyses were performed to determine the difference in the distribution of seropositivity prevalence within and between each tumor site and between tumor grades.

RESULTS

Table 1 demonstrates the matching variable distributions between cases and controls. One HPV-16-negative control subject was miscoded as a smoker before matching. The two groups were similar in their exposure history to alcohol (Table 1). Their similar plasma cotinine levels showed that similar percentages of the case and control subjects had been recently exposed to tobacco ($P = 0.191$; Table 1).

Forty-nine of the 120 case subjects (40.8%) but only 11 of the 120 controls (9.2%) were seropositive for HPV-16 ($P < 0.0001$; Table 1). In 46 of the 120 matched case-control pairs (38%), the case was HPV-16 positive, and the control was HPV-16 negative, whereas only 8 of the 120 pairs (7%) had a case that was HPV-16 negative and a control that was HPV-16 positive. The remaining 66 pairs (55%) were concordant for HPV-16 serological status (Table 2). HPV-16 positivity was associated with a significantly increased risk of SCCHN (OR, 5.75; 95% CI, 2.71–12.18), and this risk remained significant after adjusting for alcohol status and cotinine level (Table 2). The observed rate of HPV-16 infection was greater in the never-smokers with SCCHN than in the ever-smokers with SCCHN (43.3% versus 38.3%, respectively). However, after conditional logistic regression analysis, the increase in risk for SCCHN was higher (but not significantly so) for smokers (OR, 7.00; 95% CI, 1.98–22.43) than for never-smokers (OR, 5.00; 95% CI, 1.98–22.43).

Of the oropharyngeal cancer cases, 58.6% were seropositive for HPV-16, compared with only 8.3% of the oral cavity cancer cases and 35.7% of the laryngeal cancer cases (Table 3).

Patients with supraglottic cancer were also frequently positive, but the number of laryngeal cancer cases was relatively small ($n = 14$). The prevalence of seropositivity increased with the tumor grade; 25 of 43 patients (58.1%) with poorly differentiated tumors were serologically positive (Table 3). Of the 38 patients with poorly differentiated oropharyngeal tumors, 24 (63.2%) were serologically positive for HPV-16, whereas only 2 of the 30 patients with moderate or well-differentiated oral cavity tumors (6.7%) were serologically positive (data not shown). HPV-16 viral DNA was detected in 8 tumors of the 27 tumors tested. Five of the 8 tumors positive for HPV-16 DNA were found in the oropharynx, and 3 were found in the oral cavity, whereas 15 of the 19 tumors negative for HPV-16 DNA were found in the oral cavity, 3 were found in the larynx, and only 1 was found in the oropharynx. Overall concordance between HPV-16 DNA being detected in the tumor and HPV-16 seropositivity was 74.1% [20 of 27 (14 of 18, 5 of 6, and 1 of 3 for oral cavity, oropharynx, and larynx, respectively)]. Five of the eight tumors positive for HPV-16 DNA (62.5%) occurred in serologically positive patients, whereas 15 of the 19 HPV-16-negative tumors (78.9%) occurred in serologically negative patients.

HPV-16 seropositivity was associated with a 38-fold increased risk of oropharyngeal cancer ($P < 0.001$; Table 4). This risk remained significant after adjusting for alcohol status and cotinine level. When stratified by smoking status, HPV-16 seropositivity was more common in the never-smokers with oropharyngeal cancer [24 of 35 (68.6%)] than in the ever-smokers with oropharyngeal cancer [17 of 35 (48.6%)]. Whereas the never-smokers with oropharyngeal cancer had more pairs in which the case was HPV-16 positive and the control was HPV-16 negative than the ever-smokers with oropharyngeal cancer (23 versus 15 pairs, respectively; Table 4), and we observed higher ORs associated with risk of oropharyngeal cancer in the never-smokers than in the ever-smokers (Table 4), these differences were not statistically significant.

To further explore the interaction of HPV-16 status and smoking status, we performed a case-case matched pair analysis (Table 5). Fourteen of the 60 matched case-case pairs (23%) had a never-smoker who was HPV-16 positive and a smoker who was HPV-16 negative, whereas 11 pairs (18%) had a smoker

Table 4 Matched pair analysis of HPV-16 serological status and oropharyngeal cancer risk estimates

Case	Matched pairs		OR ^a (95% CI)	Adjusted OR ^b (95% CI)	Adjusted OR ^c (95% CI)
	Control				
	HPV-16+	HPV-16-			
HPV-16+	3	38	38.0	60.40	59.53
HPV-16-	1	28	(5.22–276.8)	(5.77–631.4)	(5.71–620.2)
			Never-smokers		
HPV-16+	1	23	32.68 ^d	27.17 ^d	27.14 ^d
HPV-16-	0	11	(5.75–∞)	(4.36–∞)	(4.85–∞)
			Ever-smokers		
HPV-16+	2	15	15.00	19.70 ^d	18.22 ^d
HPV-16-	1	17	(1.98–113.6)	(3.32–∞)	(3.02–∞)

^a Conditional logistic regression analyses on matching variables.

^b Conditional logistic regression analyses on matching variables, adjusted for alcohol status.

^c Conditional logistic regression analyses on matching variables, adjusted for alcohol and cotinine level.

^d Exact logistic regression analysis.

Table 5 Matched pair analysis of HPV-16 serological status and smoking status risk estimates among cases

Never-smoker	Matched pairs		OR ^a (95% CI)	Adjusted OR ^b (95% CI)	Adjusted OR ^c (95% CI)
	Ever-smoker				
	HPV-16+	HPV-16-			
HPV-16+	12	14	1.32	1.16	1.45
HPV-16-	11	23	(0.58–2.78)	(0.47–2.86)	(0.44–4.76)
			Oropharyngeal cancer cases		
HPV-16+	11	13	2.17	1.79	2.33
HPV-16-	6	5	(0.83–5.56)	(0.54–6.67)	(0.54–14.29)

^a Conditional logistic regression analyses on matching variables.

^b Conditional logistic regression analyses on matching variables, adjusted for alcohol status.

^c Conditional logistic regression analyses on matching variables, adjusted for alcohol and cotinine level.

cavity (one seropositive) and only a single patient (seronegative) with a poorly differentiated laryngeal cancer. We did find a high prevalence of seropositivity in the patients with supraglottic cancer, which was also consistent with previous reports (21, 37). Also, the 27 case subjects with HPV-16-positive tumors were three times more likely to be serologically positive than those with HPV-16-negative tumors. Although the number of cases was small, the correlation between serological data and tumor data is consistent with previous reports on head and neck (21) and gynecological cancer (18, 38).

Finally, we did not find that never-smokers with SCCHN were significantly more frequently HPV-16 seropositive than ever-smokers with SCCHN were. We did observe that almost 70% of oropharyngeal cancer patients who never smoked were serologically positive for HPV-16 and a higher risk of oropharyngeal cancer associated with HPV-16 seropositivity in the never-smokers than in the ever-smokers, but these differences were not statistically significant. Whereas our study included only 60 never-smokers with SCCHN, this is the largest number of never-smokers previously examined for HPV-16 status and is the first to systematically explore the role of HPV-16 in never-smokers with SCCHN. Other studies have also found that HPV is more common in SCCHN in never-smokers, but those studies had few never-smokers and no matching (particularly for tumor site) between ever-smokers and never-smokers. Fouret *et al.* (20) found that 5 of 10 SCCHNs (50%) in nonsmokers but only

15 of 177 SCCHNs (8.5%) in smokers had HPV DNA. Smith *et al.* (13) found that 7 of 18 oral and pharyngeal cancers (38.9%) in nonsmokers but only 7 of 75 oral and pharyngeal cancers (9.3%) in smokers were HPV positive. Strome *et al.* (32) found 6 of 7 (86%) tonsil cancers occurring in never-smokers to be HPV positive and 18 of 45 (40%) tonsil cancers in smokers to be HPV positive. Based on previous case-control studies and case series and the findings reported here, we conclude that HPV-16 is a clear risk factor for oropharyngeal cancer in ever-smokers and also a substantial risk factor for oropharyngeal cancers in never-smokers.

The literature and our findings together support many of the classic criteria for disease causality [including at least three of the five used by the Surgeon General in the official report linking smoking to lung cancer (39)]. These criteria include the strength of the association (between HPV-16 and oropharyngeal cancer), the consistency in the literature (of HPV-16 DNAs being identified frequently in oropharyngeal cancers and associated with risk of oropharyngeal cancer in case-control studies), the specificity (of HPV-16 and not other HPV types), the consistency (of the cancer site associated with HPV-16), the coherence of the explanation and the analogy (of HPV-16-induced oropharyngeal cancer to cervical carcinogenesis), and the biological plausibility (of the HPV-16 carcinogenesis model). However, these studies could not demonstrate either a dose-response effect on risk or (with one exception) a clear temporal

link between infection and tumor development. Consequently, a larger prospective cohort study is needed to verify the etiological role of HPV-16 in oropharyngeal cancer, to accurately quantify the risk of oropharyngeal cancer in those with serological evidence of HPV-16 exposure, and to explore the interaction between HPV-16 and degree of tobacco exposure. Ultimately, such studies may lead to improved cancer prevention by identifying individuals at high-risk of oropharyngeal cancer, who may benefit from aggressive smoking cessation efforts, screening for early detection, chemoprevention protocols, and possibly even prophylactic tonsillectomy.

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