

1
2 **Evaluating Willingness for Surgery Using the SMART**
3 **Choice Tool to Predict Outcomes after Total Knee**
4 **Arthroplasty: A Randomised Controlled Trial**

5
6
7 **“The SMART Choice Trial”**

8
9 **Study Protocol**

10
11 **Version 5.5**
12 **Amended 19 July 2022**

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14
15 **Confidential**

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17 This document is confidential and the property of The University of Melbourne, HCF
18 Research Foundation, and St. Vincent’s Hospital, Melbourne. No part of it may be
19 transmitted, reproduced, published, or used without prior written authorization from the
20 institutions.

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23 **Statement of Compliance**

24
25 This document is a protocol for a clinical research study. The study will be conducted in
26 compliance with all stipulations of this protocol, the conditions of ethics committee approval,
27 the NHMRC National Statement on Ethical Conduct in Human Research (2018) and the Note
28 for Guidance on Good Clinical Practice (CPMP/ICH-135/95).

29
30
31 *NB: This tool was previously known as “PROTO-KNEE” and has now been rebranded*
32 *SMART Choice (Knee) as of 1 February 2022.*
33

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35
36

ABBREVIATIONS

Abbreviation	Definition
AE	Adverse event
ANZCTR	Australian New Zealand Clinical Trials Registry
CF	Consent form
CI	Co-Investigator
CONSORT	Consolidation Standards of Reporting Trials
CRF	Case report form
EPR	Electronic patient records
GP	General practitioner
HCF	Hospitals Contribution Fund (Health insurance company)
K-DQI	Decision Quality Instrument (Knee Arthritis specific)
MCID	Minimal clinically important difference
MRO	Medical records online
NSAID	Non-steroidal anti-inflammatory drug
OA	Osteoarthritis
PAS	Patient administration systems
PFA	Patellofemoral arthroplasty
PI	Principal Investigator
PIS	Patient information sheet
PROM	Patient reported outcome measure
SAE	Serious adverse event
SAGER	Sex and Gender Equity in Research
SF6D	Short form survey (6 dimensions)
SMART	St. Vincent's Melbourne Arthroplasty Outcomes (Registry)
SPIRIT	Standard Protocol Items: Recommendations for Interventional Trials
SUSAR	Suspected unexpected serious adverse reaction
SVHA	St. Vincent's Hospitals, Australia
SVHM	St. Vincent's Hospital, Melbourne
TAU	Treatment as usual
TKA	Total knee arthroplasty (= total knee replacement)
TRIPOD	Transparent reporting of a multivariate prediction model for prognosis or diagnosis.
UKA	Unicondylar knee arthroplasty
VR-12	Veterans RAND 12 Item Health Survey
WOMAC	Western Ontario and McMaster Universities Osteoarthritis Index

37

38 **1. INVESTIGATORS AND FACILITIES**
39

40
41 *1.1. Study Locations*
42

43 This study will be conducted primarily online with participants recruited from two cohorts:

- 44 - Customers of HCF
45 - Patients at St. Vincent's Hospital, Melbourne (SVHM)
46

47 The research team will be based at:

- 48 - Department of Surgery
49 Faculty of Medical, Dental and Health Sciences
50 The University of Melbourne
51 - Department of Orthopaedic Surgery
52 St. Vincent's Hospital, Melbourne.
53

54 *1.2. Study Management*
55

56 *1.2.1. Principal Investigator*
57

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61

62 *1.2.2. Project Team*
63

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65

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71

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79

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83

84 *1.3. Sponsor / Funding*
85

86 This study is funded through a research grant by the HCF Research Foundation (grant
87 number N/A).

88 **2. PROTOCOL SYNOPSIS**

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90

91 *Intervention*

92

93 The *SMART Choice* is a prognostic tool developed to predict patient satisfaction after total
94 knee arthroplasty (TKA). The tool predicts outcome in the form of a likelihood score for
95 satisfaction after TKA. The tool is patient-focused meaning it can be used without the input
96 of clinicians.

97

98 *Objectives*

99

100 To evaluate the effect of the *SMART Choice* prognostic tool with regards to patient
101 willingness for surgery in TKA.

102

103 *Design*

104

105 Prospective, single-blinded, randomised controlled trial.

106

107 *Population*

108

109 People who are suffering from knee OA and considering TKA are eligible for the study.
110 Participants will be recruited from two sources: HCF and SVHM.

111

112 *Number of Subjects*

113

114 Based on our sample size calculations, approximately 400 participants will be required for
115 our study. Participants will be randomly allocated 1:1 into two groups: intervention
116 (prognostic tool use) group and treatment as usual (TAU) group.

117

118 *Outcomes*

119

120 The primary outcome of the study is willingness for TKA surgery. Secondary outcomes are
121 optimal timing for tool use and accuracy of predicted outcomes. A nested qualitative study
122 will evaluate the clinical utility of the tool from a consumer perspective. An economic
123 analysis will evaluate the cost benefit of the tool.

124

125 *Follow-up*

126

127 Participants will be followed up at six weeks, three months, and six months after their initial
128 assessment. Long term follow-up of participants will be investigated as a linked study to the
129 Australian Joint Registry and the St. Vincent's Melbourne Arthroplasty Outcomes (SMART)
130 Registry.

131

132 *Study Duration*

133

134 The study duration is estimated to be 21 months to completion from first enrolment.

135

3. INTRODUCTION AND BACKGROUND

3.1. Terminology

In this study protocol, the term “prognostic tool” refers to the interface (e.g. website or mobile app) that patients interact with to predict outcomes. In contrast, the term “predictive model” refers to the statistical model(s) and/or machine learning algorithm(s) that the prognostic tool uses to calculate predictive outcomes.

3.2. Background

Knee osteoarthritis (OA) is a progressive and debilitating condition for sufferers. Pain and stiffness are common presenting complaints. Without adequate intervention, functional decline and even complete loss of independence can occur.¹⁰ Lifestyle modification, analgesia and physiotherapy comprise the core of non-operative management.³¹ In certain situations, intra-articular injections may delay the need for surgery.^{23,29} Failing non-operative management, the definitive treatment option for knee OA is TKA.²⁴

Based on registry studies, TKA is generally regarded as a successful procedure.^{4,11} The risk of adverse event associated with the surgery is relatively low and the probability of improving symptoms is relatively high.^{13,20} However, recent studies have reported that up to 20 percent of patients remain unsatisfied after TKA.¹ For these patients, ongoing symptoms from their TKA severely impacts their quality of life.^{9,32} With a current trend towards more arthroplasty surgery globally, the social and economic impact of TKA dissatisfaction is a fast growing problem.²¹

To address this issue, solutions need to arise from multiple fronts. Improvement in surgical technique and implant design seem to be the most obvious path forward. However, substantial progress has already been made from pioneers of the past. The trajectory of progress from technique and implant design alone is reaching a plateau.^{12,25} An alternative solution would be a completely new treatment for knee OA; a solution that addresses both the symptoms and natural history of the disease. Work is underway to experiment with biologic agents aimed at regenerating cartilage and bone.^{15,17,19,28} However, this process is expensive and time consuming without any guarantee of success. Research must therefore explore complementary pathways to find solutions for TKA dissatisfaction.

One of these pathways is through improvement of patient specific factors. The goal here is to optimise patients to become excellent surgical candidates. Prognostic tools fit into this area of research. These are tools developed to predict surgical outcomes. This is clinically useful in two ways. First, if poor outcomes can be predicted before surgery, then patients can be stratified into groups based on risk. For high-risk patients, resources can be set aside to improve modifiable risk factors. This will optimise the patients for surgery. Secondly, prognostic tools can manage patient expectations through informed decision making. A patient who understands their potential outcomes may regress their expectations towards what is realistic for their circumstances. This is based on the understanding that a major driver of dissatisfaction is the imbalance between expected and actual outcomes.³⁰ The hope is that prognostic tools can better align these two perceptions to improve patient satisfaction and influence patient decision making about surgery for the better.

185 *SMART Choice* is a patient focused prognostic tool that predicts outcomes after TKA. The
186 term “patient focused” means that a patient can use the tool by themselves before seeing a
187 clinician. The tool was developed using data from the SMART Registry– an extensive
188 arthroplasty registry with over 10,000 patients and more than 20 years follow up time.¹⁴
189 *SMART Choice* uses the SMART Registry data to provide patients with a likelihood score
190 for a satisfactory outcome after TKA. This benefits patient care through two pathways; 1)
191 improves informed decision making for the patient, and 2) manages patient expectations in
192 preparation for TKA.

193

194 *3.3. Rationale and Hypotheses*

195

196 This study forms part of a wider research project investigating improvement in patient
197 selection for TKA. Prognostic tools fit into this research scope because they can stratify
198 patients based on risk and predicted outcomes. Patients deemed high risk of unsatisfactory
199 outcome can be identified before surgery. Modifiable risk factors can be optimised in these
200 patients to improve outcomes.

201

202 Additionally, patients who have knowledge of their predicted outcomes are better informed to
203 make decisions about surgery. Our hypothesis is that prognostic tools in this context can
204 positively influence patient decision making for TKA. We will measure patient decision
205 making through willingness for surgery scales. For patients who are identified as high risk,
206 we hypothesise that a significant proportion of patients will reconsider their willingness for
207 surgery and/or make lifestyle changes to reduce their modifiable risk factors. Furthermore,
208 we expect early intervention with the prognostic tool (before seeing an Orthopaedic Surgeon)
209 to have a larger impact on willingness for surgery than later in the patient journey (after
210 seeing an Orthopaedic Surgeon). The rationale behind this hypothesis is that with progression
211 along the TKA journey, patients will likely have a stronger perception of investment in the
212 process. Patients are therefore less likely to abandon this perceived investment by declining
213 surgery later in the TKA journey.

214

215 Although many predictive tools have been developed for TKA and other arthroplasty
216 procedures, very few have been implemented in clinical practice. A possible explanation for
217 this observation is the paucity of clinical trials that have evaluated prognostic tools for
218 arthroplasty. To our knowledge, this will be the first randomised controlled trial (RCT) that
219 will study the effect of prognostic tool use on willingness for surgery in TKA. Willingness
220 for surgery will be used as a proxy measure to understand how prognostic tools can influence
221 patient decision making regarding TKA.

222

223 *3.4. Research Questions*

224

225 The overarching research question is “how can we improve patient selection for TKA?” With
226 respect to this randomised controlled trial, the primary question we are investigating is “what
227 are the effects of prognostic tool use on patient willingness for TKA surgery?”

228

229 **4. STUDY OBJECTIVES**

230

231

232 *4.1. Primary Objective*

233

234 The primary objective of this study is to evaluate the impact of the *SMART Choice* tool use
235 on willingness for TKA surgery for patients with knee OA. This is in comparison with
236 standard care alone.

237

238 *4.2. Secondary Objectives*

239

240 The secondary objectives of this study are:

241 ● To determine the optimal timing for prognostic tool use in a patient's TKA journey to
242 maximise effect on willingness for surgery.

243 ● To assess the accuracy of *SMART Choice* predicted outcomes compared with actual
244 outcomes in patients who proceeded with surgery (through comparison of patient
245 reported outcome measures).

246 ● To determine if there are differences in the effectiveness of *SMART Choice* when
247 used in sub-populations such as sex, gender, and ethnicity.

248 ● To evaluate the economic benefit of using *SMART Choice*.

249

250 Long term (greater than 5 years) follow-up of patients will occur through linkage to the
251 SMART and Australian Joint Registries. This will be registered as a separate study later in
252 the overall project.

253

254 **5. STUDY DESIGN**

255

256

257 *5.1. Study Methodology Overview*

258

259 This is a prospective, assessor-blinded, superiority randomised controlled trial. The trial will
260 be registered with the Australian New Zealand Clinical Trials Registry (ANZCTR).

261 Reporting will be in accordance with the CONSORT Statement.²² The trial protocol will be
262 published in line with SPIRIT⁵ (clinical trial), and SAGER⁷ (sex and gender equity)
263 guidelines.

264

265 People with knee OA who are considering TKA will be selected for the study. Screening for
266 potential participants will occur from two sources; 1) customers of HCF who are identified as
267 having knee OA and considering TKA, and 2) patients who are referred to SVHM
268 Orthopaedic Outpatients Clinic for consideration of TKA, or on the waiting list for re-review
269 in clinic, or on the waiting list for unilateral TKA. Additional participants outside of these
270 two sources will also be considered, for example, when participants invite friends or family to
271 participate in the study. Participants must be considering TKA surgery and provide informed
272 consent to participate in the study.

273

274 Participants will be randomised into two equal groups:

275 ● Intervention (prognostic tool)

276 ● Treatment as usual (TAU)

277 Definitions for each group are detailed in section 6.

278

279 The TAU group is the control group of the study. This represents the care a patient would
280 receive if they were not part of this study and seeking treatment for their knee OA through
281 public channels within the Australian health system.

282

283 Due to the nature of the study, only assessor blinding will occur. For the purposes of the
284 study, the research team will be separated into two groups by their roles. There will be
285 research assistants whose primary role is to manage the recruitment and data entry aspects of
286 the study. There will also be investigators who will perform the data analysis of the study.

287 We do not intend for crossover to occur between these roles. Consequently, research
288 assistants will be able to perform their duties unblinded whilst investigators will remain
289 blinded to participant identity and allocation groups during the analysis phase. This blinding
290 strategy prevents bias from being introduced by investigators when interpreting the results of
291 the study.

292

293 Blinding of participants would be a challenge logistically. Therefore, the study will instead
294 utilise a limited disclosure method after allocation. Participants will be blinded from what the
295 specific intervention in each arm of the study entails. For surgeons who are reviewing
296 patients in the clinic, they will be blinded to the allocation grouping and have no role in
297 outcome ascertainment. The statistician will be blinded to both arms of the study.

298

299 The primary outcome will be the effect of prognostic tool use on participant willingness for
300 TKA surgery. Secondary outcomes will be optimal timing for prognostic tool use, differences
301 in tool effectiveness amongst sub-populations, and accuracy of prognostic tool prediction (in
302 patients who undergo TKA) with respect to satisfactory surgery outcome.

303

304 To measure the outcomes of interest, the following data will be collected:

- 305 ● Willingness for surgery question: “Are your knee symptoms so bothersome that you
306 would be willing to undergo surgery if medically fit to do so? (Yes/No).”²²
 - 307 ○ If yes, “In what time frame are willing to have surgery?” [Time in months].
- 308 ● Proceeding with TKA: “Have you already received a TKA for your knee symptoms?
309 (Yes/No).”
- 310 ● PROM tools:
 - 311 ○ Veterans RAND 12 Item Health Survey Score (VR-12)
 - 312 ○ EQ-5D-3L Questionnaire

313 PROM data will be captured for the TKA even if the patient has proceeded with TKA during
314 the duration of the study. See section 9.4 and 9.5 for more details.

315
316 Participants will be followed up for six months. Data will be captured at four timepoints
317 throughout the study:

- 318 ● Initial assessment at time of recruitment
- 319 ● 6 weeks after initial assessment
- 320 ● 12 weeks after initial assessment
- 321 ● 6 months after initial assessment

322 See section 8 for further details about assessments and follow up.

323

324 5.2. Number of Subjects

325

326 A power analysis calculation was performed to estimate the sample size for this study. We
327 used baseline willingness for surgery in TKA as published by Bendich et al and Dell’Isola et
328 al.^{2,8} Methods described in *Fundamentals of Biostatistics 7th Edition* were used for power
329 analysis.²⁶ Alpha was set at 0.05 and power was set at 80%. From the two comparison
330 studies, a sample size range of 240-360 participants were needed for the study. Additional
331 studies were used to benchmark our sample size calculations to ensure consistency.^{6,18} To
332 account for lost to follow up, 5% inflation was included in our final sample size calculation.
333 This buffer is a conservative estimate given the SMART Registry achieves 98% survey
334 follow-up at one year.¹⁴ Our final sample size estimate was 400 participants. The sample size
335 calculated is a feasible number to recruit because SVHM perform approximately 300 TKA
336 each year and HCF currently have approximately 50,000 members with knee OA. We will
337 aim to recruit 200 patients from the SVHM cohort and approach a random pool of all patients
338 with knee OA in the HCF database. Based on these calculations, we estimate that 6 months
339 will be a sufficient time period for recruitment to be completed. In the event that disruptions,
340 including but not limited to COVID-19, negatively affects or delays recruitment, an interim
341 analysis will be performed at 200 participants. The purpose of the interim analysis will be to
342 evaluate the feasibility and necessity of recruitment numbers. See section 7.1 for further
343 details.

344

345 5.3. Expected Duration of Study

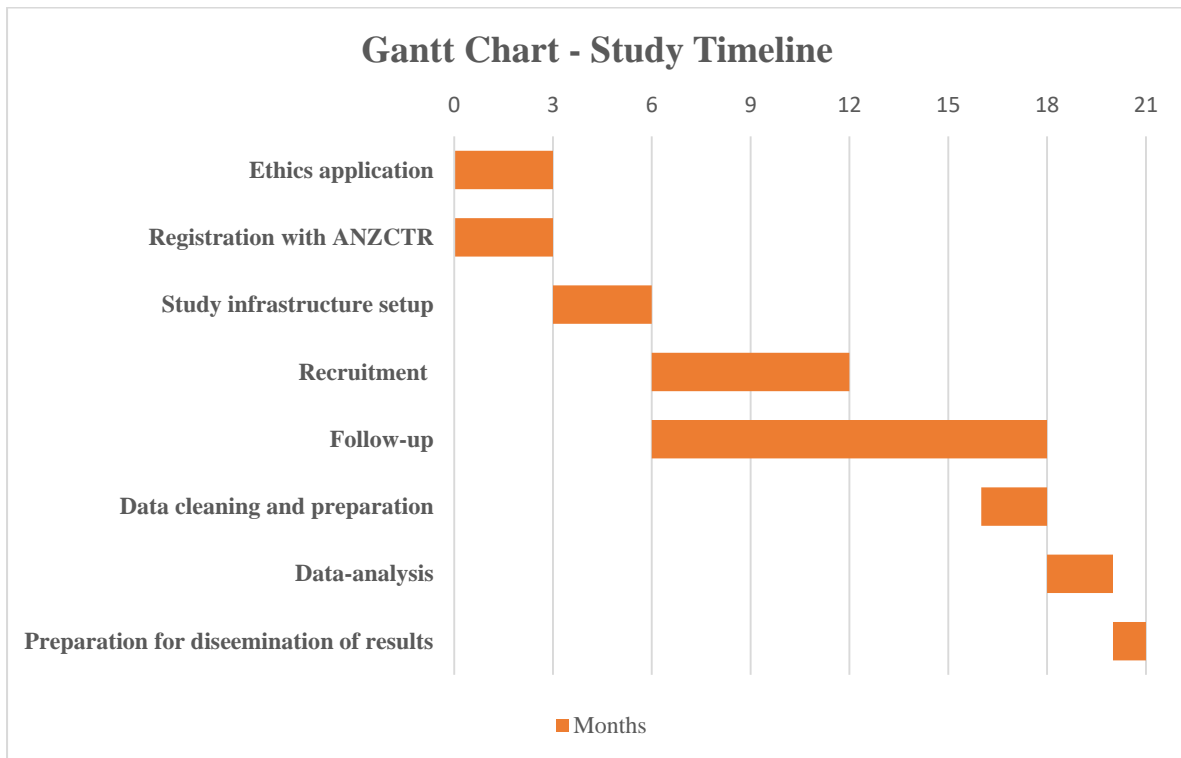
346

347 The study is expected to be completed within 21 months (Fig. 1). This timeline is divided into
348 three phases:

- 349 ● Phase 1 – study planning, logistics, setting up the appropriate infrastructure to ensure
350 all relevant data can be captured.
- 351 ● Phase 2 – recruitment of patients will occur sequentially alongside follow up of
352 patients who have been recruited earlier in the study.

353
354
355

- Phase 3 – final follow up of the patients recruited later in the study, data analysis, and preparing the findings for dissemination in journal publications and conferences.



356
357
358
359

Figure 1. Gantt Chart detailing the timeline of the study.

360 6. STUDY TREATMENTS

361

362

363 6.1. *Treatment Arms*

364

365 To meet the primary and secondary objectives of this study, participants will be randomised
366 into two equal groups.

367 • **Intervention group** – this group is defined as using the *SMART Choice* tool in
368 addition to standard care for TKA pathway.

369 • **Treatment as usual (TAU) group** – this group is defined by the absence of
370 prognostic tool use and only receiving usual care for patients on the TKA pathway.

371

372 The purpose for randomising participants into intervention and TAU groups is to
373 comparatively measure the outcomes attributed to prognostic tool use. Therefore, the
374 intervention in this study is the use of the prognostic tool (*SMART Choice*). It is important to
375 note that intervention groups receive prognostic tool use *in addition* to standard care. In other
376 words, no care is withheld in the intervention group. By contrast, the TAU group receives no
377 additional intervention from the study.

378

379 Sub-analysis will be used to measure secondary outcomes. In particular, optimal timing of
380 prognostic tool use on willingness for surgery will be measured. Participants will be required
381 to indicate their position in the TKA journey at the beginning of the study (see section 10).

382 Time to appointment with an Orthopaedic Surgeon will be used as the reference point.

383 Participants who have not seen an Orthopaedic Surgeon and do not have an appointment to
384 see an Orthopaedic Surgeon for at least 6 weeks are considered early in the TKA journey.

385 Participants who are due to see an Orthopaedic Surgeon within the next 6 weeks are
386 considered in the middle of the TKA journey. Finally, participants who have already seen an
387 Orthopaedic Surgeon are considered late in the TKA journey.

388

389 Our hypothesis is that use of the prognostic tool earlier in the TKA patient journey will lead
390 to larger influences on willingness for surgery. The major reasoning behind this hypothesis is
391 because the participants who are later in the TKA journey may feel more invested to continue
392 with the process and undergo TKA despite risks of unsatisfactory outcome.

393

394 6.2. *Predictive Model Development*

395

396 The SMART Registry will be used as the primary database to build the predictive model. A
397 combination of literature review and clinical judgement will form the basis for predictor
398 selection. All predictors are required to be patient-specific – meaning the patient can input
399 these variables without clinician knowledge such as radiographic assessment of disease.

400 Univariate and multivariate regression analysis will provide statistical evaluation of
401 correlation between predictors and outcomes. Multiple predictive models using regression
402 modelling and machine learning algorithms will be constructed and compared. 10-fold cross
403 validation technique will be used to internally validate the model thereby reducing bias and
404 overfitting of data. The outcome of interest for the model will be utility score improvement
405 based on SF6D. Minimal clinically important difference (MCID) will be used to assess the
406 threshold of PROM score improvement as satisfactory outcome. A decision curve analysis
407 may be performed to assess the clinical utility of the final model. Furthermore, alternate
408 models investigating hip arthroplasty may also be developed for comparison. The model

409 development process will be reported using TRIPOD guidelines; Transparent reporting of a
410 multivariate prediction model for prognosis or diagnosis.

411

412 The predictive model will be housed as a patient-focused prognostic tool on two user
413 platforms – website for computer and website optimised for mobile/tablet devices. The
414 prognostic tool can be used once by participants in the intervention group. For participants in
415 the TAU group, the prognostic tool will not be available for use until after the study ends. At
416 the conclusion of the study, the prognostic tool will be available for all participants to use
417 freely.

418

419 *6.2.1 Crossover and Contamination Policy*

420

421 For the duration of the study, the *SMART Choice* tool will not be live and will only be able to
422 be accessed through direct links to a secure platform. This will prevent patients in the TAU
423 group from accessing the tool during the study and causing crossover contamination.

424

425 Alternative prognostic tools for TKA are already available freely on the internet.¹⁶ However,
426 with limited disclosure – the study will be framed as a self-assessment and education
427 intervention. This will prevent participants in the TAU group from actively seeking out
428 alternative prognostic tools for use. If a participant in the TAU uses a prognostic tool during
429 the study, they will not be excluded. This reflects the pragmatic nature of the study because
430 alternative prognostic tools are already freely available for general use.

431

432

433

434 **7. SUBJECT ENROLLMENT AND RANDOMISATION**

435

436

437 *7.1. Recruitment*

438

439 Participants will be recruited from two sources:

- 440 ● HCF client database who have identified patients with knee OA and considering TKA
- 441 ● SVHM Orthopaedic Outpatient Clinic patients who have presented, been booked, or
- 442 referred for new appointments to discuss TKA; or are on the waitlist for re-review in
- 443 clinic, or are on the surgical waitlist for TKA.

444 *NB: Additional participants recruited outside of these sources will be also considered in*

445 *circumstances such as when participants refer friends or family to the study. For these*

446 *participants, ethical oversight will be held by the University of Melbourne Ethics*

447 *Committee.*

448

449 Based on our sample size calculation, we will need approximately 400 patients in total for the

450 study to achieve our primary objective. As already described in section 5, we will approach

451 200 patients in the SVHM source and a random pool of all HCF members with knee OA

452 considering TKA. This strategy was deemed the most feasible when balancing the need to

453 recruit enough participants within a reasonable allocated timeframe. As a result, there may be

454 an over-recruitment of participants, from the HCF source.

455

456 From the HCF source, potential participants will be recruited from two major outlets. The

457 first will be a news article published in the HCF internal magazine overviewing our trial. The

458 article will provide potential participants to contact us to express their interest in participating

459 in the trial. The second will be the advertisement of the trial recruitment on the HCF

460 HealthShare platform. This is an internal HCF platform where customers can access medical

461 information, including information about how to participate in our trial. From HealthShare,

462 participants can contact us to express their interest in participating in the trial. All participants

463 from HCF who have expressed their interest will be emailed a link to our study website for

464 participation in the trial.

465

466 For the SVHM source, potential participants will be selected from monthly Orthopaedic

467 Outpatient Clinic lists for new appointments. On the day of their clinic, research staff will

468 approach potential participants before or after their appointment to consent for the study. An

469 iPad will be available to perform the initial screening and baseline information for the study.

470 In the event that there is an over-recruitment from the HCF cohort, the number of participants

471 recruited from SVHM can be reduced to meet our total sample size calculation. In addition,

472 patients who have been are awaiting FSA, or have been reviewed and are awaiting further

473 review, or have been placed on the surgical waitlist for TKA will be approached for

474 recruitment. Potential participants will receive a phone call from a member of the study team

475 to discuss the study and collect contact details including email to store on a spreadsheet

476 housed on SVHM servers. Participants will be emailed a copy of the PICF and will be asked

477 to respond with “I agree” or similar, to indicate they have read the PICF and agree to

478 participate in the study. Subsequently, the participant will be sent a username and password

479 to access the study website. Please note that for patients who access the study website from

480 the SVHM cohort, no identifiable information will be captured by the website. Instead, a

481 study identifier number will be provided that will match the patient contact details housed on

482 the SVHM spreadsheet.

483

484 If the participant is allocated to the intervention group, they will be directed to undertake a
485 baseline questionnaire, willingness for surgery assessment, and PROM scores. Immediately
486 after, they will be asked to use the prognostic tool. The next assessment will then be in 6
487 weeks' time.

488
489 If the patient is allocated to the TAU group, they will be directed to undertake a baseline
490 questionnaire, willingness for surgery assessment, and PROM scores. The next assessment
491 will also be in 6 weeks' time. Section 10 details the workflow of the study in further detail.
492

493 The consent form will describe the purpose of the study, the procedures to be followed, and
494 the risks and benefits of participation. A research team member will be available via an on-
495 call research phone (the contact number will be provided) to discuss the study and consent
496 process in further detail.
497

498 In the event a potential participant declines our invitation for the study, this will be
499 documented on a recruitment spreadsheet. The patient will be asked to provide a reason for
500 their decline, however, providing this information will be on a voluntary basis. The
501 proportion of patients who decline invitation to the study will be reported in the final study
502 analysis. Furthermore, in the event a participant starts the study but does not complete this,
503 we will contact the participant via email or phone to clarify the intentions of the participant.
504

505 The recruitment phase of the study will end on an agreed date as determined by the research
506 team. This will be dependent on the final sample size required. We will perform an interim
507 analysis of the study when we recruit half of the intended sample size. As the sample size
508 calculation was an approximation based on previous results, the sample size range may be as
509 low as 240 (total) up to 400 (total). If the interim analysis demonstrates statistical
510 significance in sample size, then recruitment will cease. If the interim analysis does not
511 demonstrate statistical significance, then the trial will aim for the maximum sample size of
512 400 (total) but will communicate a firm end date for recruitment. The purpose for
513 documenting a firm end date for recruitment is to prevent ongoing replacement of
514 participants in the event of high lost to follow-up cases. For further details, see Section 7.5.3.
515

516 *7.2. Eligibility Criteria*

517 *7.2.1. Inclusion Criteria*

518
519 Inclusion criteria will select for the following participants:

- 520 ● Diagnosed with knee OA and are considering primary unilateral TKA
- 521 ● Have already trialled non-operative management for their knee symptoms (see
522 Section 5.1)
- 523 ● Are willing and able to use web or mobile phone based prognostic tool interfaces
- 524 ● Are able to provide informed consent to participate and available to be followed up
525 for the duration of the study
526

527 *7.2.2. Exclusion Criteria*

528
529 Exclusion criteria will select out the following participants:

- 530 ● Source of knee symptoms is considered to be from any cause other than knee OA e.g.
531 rheumatoid arthritis, hip osteoarthritis, referred lower back pain etc.
532

- 533 ● Are considering bilateral TKA, revision TKA, unicompartmental knee arthroplasty (UKA),
- 534 or patellofemoral arthroplasty (PFA)
- 535 ● TKA on the contralateral side
- 536 ● Significant bilateral knee symptoms
- 537 ● Patients younger than 45 years

538

539 *7.2.3. Eligibility Screening*

540

541 Participants will be screened for eligibility based on the above criteria. The screening
542 questionnaire will contain the following questions:

- 543 ● Have you been diagnosed with knee OA?
 - 544 ○ If no, patient will be excluded.
- 545 ● Which knee is most affected by your symptoms?
 - 546 ○ Left or right.
- 547 ● Have you already had a knee replacement on your affected knee?
 - 548 ○ If yes, patient will be excluded.
- 549 ● Have you trialed non-operative treatment for your affected knee, such as pain relief
550 medication, lifestyle changes, or physiotherapy **within the last 12 months**?
 - 551 ○ If no, patient will be excluded.

552

553 Other minor eligibility criteria such as previous septic arthritis will be noted on the PIS.

554

555 *7.3. Randomisation Procedures*

556

557 Participants will be randomly assigned to receive the prognostic tool use in addition to
558 standard care, or TAU. Simple randomisation of individuals will occur. Equal numbers of
559 participants will be allocated to each group of the study. The allocation process will be built
560 into the research platform that will be provided to potential participants during recruitment
561 (see section 10).

562

563 *7.4. Study Blinding*

564

565 Due to the nature of the study, participants will remain unblinded from their allocation group.
566 However, limited disclosure of allocation groups will be applied to prevent participants who
567 are allocated TAU from pro-actively seeking out online prognostic tools to use. Participants
568 will be followed up using the automated software, REDCap (Vanderbilt University,
569 Nashville, TN, USA), which can conceal allocation groups of the participants to the
570 investigators. Follow up queries from participants that require direct communication will be
571 addressed at first instance by a research assistant.

572

573 Investigators (excluding research assistants who will not be involved in data analysis) will
574 remain blinded to the allocation group and identity of patients until after final data analysis is
575 performed. Surgeons will be blinded to the allocation group of their patients and will have not
576 influence on the outcome of allocation or intervention.

577

578 *7.5. Subject Withdrawal*

579

580 *7.5.1. Reasons for Withdrawal*

581

582 The investigator may withdraw a patient from the study treatment and follow-up procedures
583 if the participant:

- 584 • Experiences a serious or intolerable adverse event that may impact their ability to
585 participate in the study independently
- 586 • Develops, during the course of the study, symptoms or conditions listed in the
587 exclusion criteria
- 588 • Is in the TAU group and uses any prognostic tool for TKA during the course of the
589 study
- 590 • Requires early discontinuation for any reason

591
592 The investigators will also withdraw all participants from the study treatment if the study is
593 terminated. Participants are free to withdraw from the study at any time upon their request or
594 the request of their legally acceptable representative.

595

596 *7.5.2. Handling of Withdrawals and Losses to Follow-up*

597

598 If a participant withdraws from the study, the reasons for withdrawal shall be recorded on a
599 recruitment spreadsheet. Whenever possible, data already captured about that participant will
600 be retained for analysis. Participants who do not formally withdraw from the study but fail to
601 respond to study assessments will be contacted by the research team to redirect compliance
602 with the protocol. This will consist of two documented phone calls and a letter/email follow
603 up. If these contact attempts are unsuccessful, the participant will be deemed lost to follow-
604 up.

605

606 *7.5.3. Replacements*

607

608 Participants who have been lost to follow-up or discontinued from the study may be replaced
609 up until the agreed end date for recruitment. This date will be set at least 3 months prior to the
610 end date as agreed by the research team. Lost to follow-up cases that occur after the
611 recruitment phase cannot be replaced and will be noted in the final analysis of data.

612

613 *7.6. Trial Closures*

614

615 A participant is considered to have completed the trial if they have completed all phases of
616 the trial including the last assessment as shown in the Schedule of Assessments (see section
617 8).

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8. STUDY VISITS, PROCEDURES AND ASSESSMENTS SCHEDULE

8.1 Schedule of Assessments (SoA)

TIME POINT*	SCHEDULE OF ASSESSMENTS						
	Enrolment	Allocation to intervention	Post-allocation				Close-out
	t_x	t_0	t_1	t_2	t_3	t_4	t_y
ENROLMENT:							
Eligibility screen	X						
Informed consent	X						
Allocation to intervention		X					
ALLOCATION GROUPS:							
Intervention group (I)		X					
Treatment as usual group (TAU)		X					
INTERVENTION:							
Prognostic Tool Use			I				
ASSESSMENTS:							
Baseline questionnaire**		X					
Willingness for surgery^		X		X	X	X	X
Already proceeded with surgery^^				X	X	X	X
PROMs^^^		X		X	X	X	X
Qualitative questionnaires #						X	X

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8.2 Definitions for SoA

Terms	Definitions
* Time Point	t_x Time at initial contact via email with PIS, CF, and eligibility screen. If a patient is eligible and consents, allocation will immediately follow this time.
	t_0 Time at allocation with initial concurrent assessments.
	t_1 Immediately after allocation, for prognostic tool use in TAU group.
	t_2 6 weeks after initial assessment (t_0)
	t_3 12 weeks after initial assessment (t_0)
	t_4 6 months after initial assessment (t_0)
t_y Time at study closure for individual participant. This should be equal to t_4 if all assessments are completed on schedule.	
** Baseline Questionnaire	Questionnaire for all patients who have been allocated in the study. Same for all groups. Captures basic demographic data as well as questions about previous knee treatment and surgery.
^ Willingness for Surgery	This assessment asks the question "Are your knee symptoms so bothersome that you wish to undergo surgery if medically fit to do so?" Yes / No. If yes, "In what time frame are you willing to have surgery?" [Time in months].
^^ Already Proceeded with Surgery	This assessment asks the question "Have you already received a TKA for your knee symptoms?" Yes / No. The purpose for this assessment is to 1) check if the patient has undergone TKA, and 2) outcome aligns with their willingness for surgery response.
^^^ PROMs	This assessment consists of the VR12 and EQ5D3L questionnaires.
# Qualitative Questionnaires	This assessment consists of K-DQI (decision quality) and SURE (decisional conflict) tools.

630

631 **9. CLINICAL ASSESMENTS**

632

633

634 *9.1. Eligibility Screening*

635

636 Eligibility screening will be performed prior to allocation using the eligibility criteria
637 described in Section 7.2.3. The screening questionnaire will be electronic and automated.

638 Further eligibility information will be ascertained during discussion prior to informed consent
639 (see Section 9.2).

640

641 *9.2. Patient Information Sheet and Consent Form*

642

643 Appendix 1 – PICF.

644

645 *9.3. Baseline Questionnaire*

646

647 The baseline questionnaire provides investigators an understanding of the participant's
648 general characteristics. This questionnaire will only be asked at the first assessment visit
649 during the study (see section 8). The questionnaire would include asking about contact
650 details, date of birth, gender, height, weight, co-morbidities, medications (analgesia),
651 smoking status, previous non-operative management of affect knee OA symptoms,
652 consultation with Orthopaedic Surgeon in the past, appointment to see Orthopaedic Surgeon
653 arranged, previous surgery, previous injury to affected knee, and presence of contralateral
654 TKA.

655

656 The questionnaire will be structured to capture the following information:

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- Current height / weight
- Current medical conditions
- Smoking status – current, ex-smoker, never
- Question: Have you ever seen an Orthopaedic Surgeon for your affected knee?
 - Yes / No
 - If yes, how long ago did you see your surgeon? (time in weeks)
 - If yes, have you been booked for a knee replacement surgery? (Yes / No)
 - If no, have you been referred to see an Orthopaedic Surgeon for your affected knee?
 - Yes / No
 - If yes, approximately when will you expect to see the Orthopaedic Surgeon? (time in weeks, or “don’t know”)
- Question: Have you received non-surgical treatment for your affected knee? (Check box)
 - Lifestyle change advice e.g. weight loss, exercise, nutrition
 - Simple analgesia (excluding opioids) e.g. paracetamol, non-steroidal anti-inflammatories (NSAIDs)
 - Opioid analgesia e.g. codeine, tramadol, morphine, oxycodone
 - Physiotherapy
 - Intra-articular injection (steroid)
 - Intra-articular injection (non-steroid) e.g. autologous proteins solution, Synvisc
 - Other

- 681 ○ None of the above (grey out this option if any of the above are selected)
- 682 ● Question: Have you ever had surgery before on your affected knee?
- 683 ○ Yes / No
- 684 ▪ If yes, provide details (free text)

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9.4. Regular Assessments

688 Regular assessments will be conducted in accordance to the SoA. This will consist of
689 “willingness for surgery”, “already proceeded with surgery”, and PROM assessments.
690 Patients will be followed up through automated communication via REDCap software. The
691 timeline on the SoA details the timing for the assessments (see section 8).

692
693

9.4.1. Willingness for Surgery

694

695 This assessment is in the form of a single binary question: “Are your knee symptoms so
696 bothersome that you would be willing to undergo surgery if medically fit to do so? (Yes/No)”
697 If yes, “In what time frame are you willing to have surgery?” [Time in months]. The purpose
698 for this assessment is to evaluate if the patient is still of the mindset to proceed with surgery.
699 This is used as a proxy measurement in place of actual procession with surgery, as the latter
700 would require substantially longer follow up beyond the scope of this study.

701

702

9.4.2. Already Proceeded with Surgery

703

704 This assessment asks the single binary question: “Have you already received a TKA for your
705 knee symptoms? (Yes/No).” The purpose of this assessment is to 1) correlate true outcomes
706 for willingness for surgery if applicable, and 2) differentiate PROM data between knee OA
707 symptoms (if not proceeded with surgery yet) or TKA outcomes. This will not be asked at the
708 initial assessment.

709

710

9.4.3. PROMs

711

712 For this study, we will use patient EQ-5D-3L (Appendix 6) and VR-12 (Appendix 3) as the
713 PROM tools. The justification for using these specific tools is due to the SMART Registry
714 already capturing this data from patients. Given the development of the SMART CHOICE
715 tool will come from SMART Registry data, we will be able to better align our outcomes from
716 this study to the prognostic tool predictions. Participants will be asked to complete all
717 PROMs at each regular assessment schedule.

718

719

9.5. Wellbeing Check

720

721 All participants will be offered the opportunity to provide feedback or raise concerns about
722 their wellbeing at any point for the duration of the study. This opportunity will also be
723 reminded to participants at each regular assessment timepoint.

724

725 **10. STUDY WORKFLOW**

726

727 This workflow describes the stepwise process for how the study will be conducted.

728

729

730 *10.1. Initial Screening*

731

732 *10.1.1 HCF Source*

733

734 As described in 7.1, HCF will advertise this study on two platforms; their internal magazine
735 and their HealthShare platform. The internal magazine will use an article about knee
736 replacements to advertise the study. Patients will follow instructions on these platforms to
737 contact us to express interest in the study. No explicit screening will occur from this source,
738 except the screening questions as part of the website (section 7.2.3). The HealthShare
739 platform will ask potential participants a single initial screening question: “Do you suffer
740 from knee arthritis and are considering a knee replacement?”

741

742 *10.1.2 SVHM Source*

743

744 Access to prospective and retrospective Orthopaedic Outpatient clinic appointments will be
745 screened for patients who:

- 746 • Have been booked a new appointment for consideration of unilateral primary knee
747 replacement, and/or
- 748 • Have been referred by their General Practitioner (GP) for unilateral knee pain, likely
749 OA
- 750 • Have recently (within 12 months) had a consultation with an Orthopaedic Surgeon to
751 consider unilateral primary knee replacement AND not yet undergone surgery
- 752 • Awaiting re-review with an Orthopaedic Surgeon for knee surgery
- 753 • On the surgical waiting list awaiting total knee replacement

754

755 This information will be gathered from two sources:

- 756 • Clinic lists available on the SVHM patient administrative system
- 757 • Query with SVHM administrative staff who are responsible for booking clinic
758 appointments

759

760 From this pool of patients who have been identified as potentially suitable for the study, a
761 research assistant will check their electronic patient records (EPR; at SVHM the systems used
762 are PAS and MRO) for major exclusion criteria such as:

- 763 • History of rheumatoid arthritis
- 764 • Significant bilateral knee symptoms (through old clinic letters or referral notes)
- 765 • Previous contralateral TKA
- 766 • Under 45 years old

767

768 All patients who pass the initial screening process will be contacted for eligibility screening
769 and formal recruitment (up until 200 patients have been formally recruited into the study or
770 the recruitment phase ends, whichever comes first).

771

772 *10.2. Eligibility Screening and Formal Recruitment*

773

774 For participants in the SVHM cohort who pass the initial screening, a brief phone call will be
775 made to inform them of the study before a subsequent email is sent with a link to the study
776 website. For participants in the HCF cohort who pass the initial screening, the link to the
777 study website will be available on the advertising platform(s).

778
779 If the participant clicks on the link, they will be directed to a secure online form where they
780 can conduct the study. They will be provided with a copy of the PICF and asked to acknowledge
781 before proceeding. Potential participants will be asked to answer the eligibility screening
782 questions, as described in section 7.2.3:

- 783 • Have you been diagnosed with knee OA?
 - 784 ○ If no, patient will be excluded.
- 785 • Which knee is most affected by your symptoms?
 - 786 ○ Left or right.
- 787 • Have you already had a knee replacement on your affected knee?
 - 788 ○ If yes, patient will be excluded.
- 789 • Have you trialed non-operative treatment for your affected knee, such as pain relief
790 medication, lifestyle changes, or physiotherapy **within the last 12 months**?
 - 791 ○ If no, patient will be excluded.

792 If any of the responses result in the participant being ineligible for the study, the participant
793 will be notified they have been excluded and thanked for their time. Participants will be
794 encouraged to contact the research team if they have any questions about their eligibility.

795
796 If the participant passes the eligibility screen, they will continue the study through the
797 website.

798
799 At any point during this process, the participant will have the ability to stop and not proceed
800 with the recruitment process by exiting the browser. Participants who have registered with the
801 study but not completed the first stage will be recorded. Researchers can then contact the
802 participants to remind them to complete the study, or ask if they would like to be excluded
803 from the study.

804 805 *10.3. Initial Assessment*

806
807 All participants who have been formally recruited to the study will then continue with the
808 online forms to undergo the initial assessment. This will comprise of:

- 809 • Baseline questionnaire (section 9.3)
 - 810 • Current height / weight
 - 811 • Current medical conditions
 - 812 • Current medications (including over the counter medications such as pain relief)
 - 813 • Smoking status – current, ex-smoker, never
 - 814 • Question: Have you ever seen an Orthopaedic Surgeon for your affected knee?
 - 815 ○ Yes / No
 - 816 ▪ If yes, how long ago did you see your surgeon? (time in weeks)
 - 817 ▪ If yes, have you been booked for a knee replacement surgery? (Yes
818 / No)
 - 819 ○ If no, have you been referred to see an Orthopaedic Surgeon for your
820 affected knee?
 - 821 ▪ Yes / No
 - 822 • If yes, approximately when will you expect to see the
823 Orthopaedic Surgeon? (time in weeks, or “don’t know”)

- 824 • Question: Have you received non-surgical treatment for your affected knee?
825 (Check box)
- 826 ○ Lifestyle change advice e.g. weight loss, exercise, nutrition
 - 827 ○ Simple analgesia (excluding opioids) e.g. paracetamol, non-steroidal anti-
828 inflammatories (NSAIDs)
 - 829 ○ Opioid analgesia e.g. codeine, tramadol, morphine, oxycodone
 - 830 ○ Physiotherapy
 - 831 ○ Intra-articular injection (steroid)
 - 832 ○ Intra-articular injection (non-steroid) e.g. autologous proteins solution,
833 Synvisc
 - 834 ○ Other
 - 835 ○ None of the above (grey out this option if any of the above are selected)
- 836 • Question: Have you ever had surgery before on your affected knee?
837 ○ Yes / No
- 838 ▪ If yes, provide details (free text)
- 839 • Willingness for surgery (section 9.4.1)
- 840 ○ “Are your knee symptoms so bothersome that you would be willing to
841 undergo surgery if medically fit to do so? (Yes/No)” If yes, “In what time
842 frame are you willing to have surgery?” [Time in months].
- 843 • PROM scores (section 9.4.3)
- 844 ○ VR-12
 - 845 ○ EQ-5D-3L
- 846

847 After the initial assessment is complete, the participant will be allocated automatically
848 through the browser (and randomly via computer random number generator). The participant
849 will be blinded to their allocation arm.

851 10.4. Allocation

852

853 Allocations will be recorded on REDCap, but limited disclosure will be used in this study to
854 conceal the intervention allocated to the participant. Participants in the intervention group
855 will be presented the results of the *SMART Choice* tool. A notice will thank the participant for
856 their contribution to the study, and will remind them that their next assessment will arrive via
857 email in 6 week’s time.

858

859 If a participant is allocated to the TAU group, they will receive a notice that thanks them for
860 their participation in the study so far, and similarly will be reminded that their next
861 assessment will arrive via email in 6 week’s time. Although participants in the TAU group
862 will not have the results of *SMART Choice* presented to them, their probability scores will be
863 recorded discretely for comparison to the intervention group.

865 10.5. Regular Assessments

866

867 Regular assessments will occur via email link to the participant as per the SoA. This will
868 automated using the REDCap software. There will be a single version of REDCap housed on
869 University of Melbourne servers for HCF and SVHM patients. REDCap will send email
870 follow up to assess willingness for surgery, already proceeded with surgery, and PROMs at 6
871 weeks, 12 weeks, and 6 months after initial assessment. The format for assessing these
872 metrics will be similar to the initial assessment. All regular assessments will provide an
873 opportunity for participants to feedback on the study and their wellbeing.

874

875 *10.6. Data Collection*

876

877 All data will be collected online as the participant enters their information. Data will be
878 stored on secure servers at either HCF or SVHM. See detail data management plan in section
879 13 for further details.

880

881 *10.7. Trial Closure*

882

883 After the 6-month regular assessment, the participant will be notified that the study has
884 concluded for them. Participants in the TAU group will be provided a standalone link to use
885 the *SMART Choice* tool if they wish. Contact details will once again be provided to
886 participants should they have any queries or concerns after conclusion of the study.

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11. NESTED QUALITATIVE STUDY

11.1. Synopsis

A nested qualitative study will be incorporated into the main clinical trial. The purpose of this study is to evaluate the user experience of *SMART Choice* for patients. Specifically, experiences regarding patient decision conflict and knowledge will be assessed. Qualitative analysis will be obtained from two methods: 1) qualitative questionnaires, and 2) semi-structured interviews.

The former method will utilise an exploratory standpoint to investigate constructs that play a role in our main trial outcomes. On the contrary, the latter method will be used to confirm our *a priori* assumptions and hypotheses about what constructs might play a role in our main trial outcomes. Both methods are needed to provide a holistic understanding of the user experience for *SMART Choice*.

11.2. Qualitative Questionnaires

All participants in the main clinical trial will be sent two additional questionnaires via email at the time of their final assessment. These questionnaires are validated from previous research to produce discriminatory and reproducible results.^{3,27} The addition of these questionnaires will provide a cross-sectional understanding of how useful the *SMART Choice* tool was for patient decision-making.

The first questionnaire is the “Knee Osteoarthritis Decision Quality Instrument” (K-DQI). This questionnaire is specific for patients who suffer from knee osteoarthritis. The questionnaire aims to assess:

- Which aspects of decision-making matter most to the patient
- How well the patient is understanding the information provided, and
- The level of communication between patient and clinician prior to decision-making.

Appendix 4 – K-DQI.

The second questionnaire is a short screening tool to assess decisional conflict. It consists of four binary items using the acronym “SURE”.

SURE Acronym	Items	Yes [1]	No [0]
Sure of myself	Do you feel SURE about the best choice for you?	<input type="checkbox"/>	<input type="checkbox"/>
Understand information	Do you know the benefits and risks of each option?	<input type="checkbox"/>	<input type="checkbox"/>
Risk-benefit ratio	Are you clear about which benefits and risks matter most to you?	<input type="checkbox"/>	<input type="checkbox"/>
Encouragement	Do you have enough support and advice to make a choice?	<input type="checkbox"/>	<input type="checkbox"/>

If a patient answers “no” to 1 or more questions, then the screen is considered positive for decisional conflict. Understanding decisional conflict is important to ensure the information provided by *SMART Choice* is presented with clarity and aids the overall experience for patients on their TKA journey.

Appendix 5 – SURE.

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11.3. *Semi-Structured Interviews*

Participants from the intervention group will be asked to take part in semi-structured interviews. Purposive sampling will be used to ensure equal representation of participants (e.g. gender and age range) from each study cohort (HCF and SVHM) will be recruited. The recruitment process will be ongoing until saturation of common themes is met. As such, there is no sample size calculation possible and this is standard practice for qualitative study methodology.

Participants must provide additional consent to take part in the semi-structured interviews. This will be included as an optional section to the PICF for the main clinical trial.

The aims of the interviews are to:

- Explore the barriers and enablers of *SMART Choice* adoption into clinical practice
- Understand the processes underlying the main trial outcomes

With these aims, the interviews ask the following overarching research questions:

- What are the participant's perceptions of the *SMART Choice* tool?
- In what ways did the *SMART Choice* tool impact on the decision-making process?
- Why are patients willing or unwilling to undergo TKA after using the *SMART Choice* tool?

Example questions that will be asked in the interviews are:

- Can you describe the *SMART Choice* tool to me?
- How easy or hard did you find the tool to use?
- How do you think we could make it easier for people to use in the future?
- Can you explain to me how you think TKA could help you? Why do you think this?
- The *SMART Choice* tool indicated your likely outcome from TKA is X – what do you think about this?
- You have indicated you are (un)willing to undergo TKA surgery – why is this?

The interviews will be conducted by an experienced and trained qualitative researcher. Each interview will take approximately 1 hour to complete. The setting of the interview can be face-to-face (subject to COVID-19 restrictions) or over telephone / video call. The interview contents will be audio recorded and transcribed. Thematic analysis will be used to group common themes obtained from the interviews.

11.3.1. *Data Storage of Semi-Structured Interviews*

All interviews will be audio recorded with the audio file securely stored and separated from transcripts. Verbal consent will be recorded as part of the interview. Transcription will be performed by a transcription company that is associated with and complies with The University of Melbourne's research integrity and privacy policies. All transcripts will be de-identified. Audio recordings will be destroyed at the conclusion of the study. Transcripts will be stored for a further 7 years, then destroyed. The data management plan outline for the semi-structured interviews are in addition to the data management plan for the project (section 13).

983 **12. ECONOMIC ANALYSIS OF SMART CHOICE**

984

985

986 *12.1. Synopsis*

987

988 An economic analysis of the *SMART Choice* tool will be conducted in line with standard
989 economic principles. De-identified participant data will be assigned with cost utilities that
990 have been standardised. The outcome will be to calculate the cost-benefit and economic
991 impact of using the *SMART Choice* tool in the context of willingness for surgery, and
992 reduction in non-beneficial TKAs.

993

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996 **13. DATA MANAGEMENT PLAN**

997

998

999

13.1. *Data Collection*

1000

1001 All data collection will follow guidelines as mandated by Australian Privacy laws. Data will
1002 be collected from the online forms used for regular assessments and *SMART Choice* tool
1003 website.

1004

1005

13.2. *Data Storage*

1006

1007 Initial attempts were made to separate HCF and SVHM data collection via REDCap with
1008 UniMelb and SVHM servers, respectively. The reason for this was to retain SVHM patient
1009 information on SVHM servers. However, the SVHM REDCap system does not have the
1010 capacity to send email follow up surveys whereas the UniMelb REDCap system does. This is
1011 a critical function of REDCap that is required for the study to progress to completion. As a
1012 result, all participants in the study will have their study information uploaded to UniMelb
1013 REDCap to ensure that follow up questionnaires are emailed at our specified follow up
1014 timepoints. All data that is housed on UniMelb REDCap servers can only be accessed by
1015 study team members that are affiliated with UniMelb, have a UniMelb login and password,
1016 and are able to pass 2-factor authentication. Specific to SVHM, the only identifiable
1017 information that will be housed on UniMelb REDCap servers is the first name, last name,
1018 email address, and mobile phone number.

1019

1020 For participants who use the SMART Choice website, data will be captured and stored on a
1021 secure server at The University of Melbourne. This will only be accessible by University staff
1022 who are directly involved in this project (named on this protocol) and have a unique
1023 username and password. For participants from the SVHM source, this information will be de-
1024 identified and given a study ID instead. For participants from other sources, identifiable
1025 information will be captured and stored.

1026

1027

13.3. *General Principals*

1028

1029 All participants in the intervention arm of the study will have access to the *SMART Choice*
1030 tool website via their own unique login credentials. These credentials will entitle the
1031 participant to access a limited version of the website. User account permissions will be
1032 limited so participants can only see their *SMART Choice* responses. Administrator account
1033 permissions will be available only to investigators and research assistants who can create new
1034 user accounts, see/search for participants, and export datasets.

1035

1036 Furthermore, the *SMART Choice* tool website will not be accessible by public search engines.
1037 This limits accessibility of the tool to only participants with a link and login credentials. Once
1038 the study concludes, a version of the website that hosts the *SMART Choice* tool as a
1039 standalone format will be open access.

1040

1041 All soft copy patient identifiable documents will be located on a password protected
1042 computers in restricted access spaces. For participants in the SVHM cohort, information will
1043 be stored within SVHM computer networks physically located at SVHM. For remote access,
1044 two-factor authentication is required. For participants in the HCF cohort, information will be
1045 stored within The University of Melbourne computer networks. Similarly, remote access to

1046 this network also requires two-factor authentication. Study dataset codebooks will be
1047 password protected.

1048

1049 All hard copy patient identifiable documents will be in a restricted office area on SVHM
1050 location. All consent forms will be stored separately to other project information.

1051

1052 *13.4. Study Record Retention*

1053

1054 All data collected will be stored for a minimum of 7 years after the conclusion of the study.

1055

1056 **14. ADMINISTRATIVE ASPECTS**

1057

1058

1059 *14.1. Confidentiality*

1060

1061 Subject confidentiality is strictly held in trust by the participating investigators, research staff,
1062 and the study institution(s). The study protocol, documentation, data and all other information
1063 generated will be held in strict confidence. No information concerning the study or the data
1064 will be released to any unauthorized third party, without prior written approval of the
1065 sponsoring institutions (HCF, SVHM, and The University of Melbourne). Authorized
1066 representatives of the sponsoring institution may inspect all documents and records required
1067 to be maintained by the PI, limited to their recruited participants, including but not limited to,
1068 medical records (office, clinic or hospital) and pharmacy records for the subjects in this
1069 study. The clinical study site will permit access to such records. Clinical information will not
1070 be released without written permission of the subject, except as necessary for monitoring by
1071 Ethics Committee or regulatory agencies.

1072

1073 *14.2. Independent Ethics Committee Approval*

1074

1075 This protocol and the informed consent document and any subsequent modifications will be
1076 reviewed and approved by the Ethics Committees of The University of Melbourne and
1077 SVHA. A letter of ethics approval by both Committees will be obtained prior to the
1078 commencement of the study, as well as approval for other study documents subject to the
1079 Committees reviews.

1080

1081 *14.3. Modifications of the Protocol*

1082

1083 This study will be conducted in compliance with the current version of the protocol. Any
1084 change to the protocol document, PIS, or CF that affects the scientific intent, study design,
1085 patient safety, or may affect a participants willingness to continue participation in the study is
1086 considered an amendment, and therefore will be written and filed as an amendment to this
1087 protocol and/or CF. All such amendments will be submitted to the local Ethics Committees,
1088 for approval prior to becoming effective.

1089

1090 *14.4. Protocol Deviations*

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1092 All protocol deviations must be recorded in the patient record (source document) and on a
1093 CRF and must be reported to the PI. Protocol deviations will be assessed for significance by
1094 the PI. Those deviations deemed to have a potential impact on the integrity of the study
1095 results, patient safety or the ethical acceptability of the trial will be reported to the local
1096 Ethics Committee within 14 days.

1097

1098 Where deviations to the protocol identify issues for protocol review, the protocol will be
1099 amended as per section 13.3

1100

1101 *14.5. Participant Reimbursement*

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1103 Participants will not be reimbursed for the main clinical trial. However, for participants in the
1104 semi-structured interviews a \$25AUD supermarket voucher will be offered for their time.

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1106 *13.6. Financial Disclosure and Conflicts of Interest*

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1108 All investigators and research staff must declare any conflicts of interest or financial interest
1109 relating to the study prior to involvement with the study. This will be disclosed in accordance
1110 with The University of Melbourne and SVHA Research Integrity Policies.

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