

BMJ Open

BMJ Open is committed to open peer review. As part of this commitment we make the peer review history of every article we publish publicly available.

When an article is published we post the peer reviewers' comments and the authors' responses online. We also post the versions of the paper that were used during peer review. These are the versions that the peer review comments apply to.

The versions of the paper that follow are the versions that were submitted during the peer review process. They are not the versions of record or the final published versions. They should not be cited or distributed as the published version of this manuscript.

BMJ Open is an open access journal and the full, final, typeset and author-corrected version of record of the manuscript is available on our site with no access controls, subscription charges or pay-per-view fees (<http://bmjopen.bmj.com>).

If you have any questions on BMJ Open's open peer review process please email info.bmjopen@bmj.com

BMJ Open

Impact of acute care physician's age on crisis management performance and learning after simulation-based education: protocol for a prospective cohort trial

Journal:	<i>BMJ Open</i>
Manuscript ID	bmjopen-2017-020940
Article Type:	Protocol
Date Submitted by the Author:	04-Dec-2017
Complete List of Authors:	<p>Alam, Fahad; University of Toronto Faculty of Medicine, Anesthesia LeBlanc, Vicki; University of Ottawa, Department of Innovation in Medical Education Baxter, Alan; University of Ottawa, Department of Anesthesiology and Pain Medicine Tarshis, Jordan; University of Toronto, Department of Anesthesia Piquette, Dominique; University of Toronto, Department of Critical Care Medicine Gu, Yuqi; University of Ottawa, Department of Anesthesiology and Pain Medicine Filipkowska, Caroline; University of Toronto, Department of Emergency Medicine Krywenky, Ashley; University of Ottawa, Department of Emergency Medicine Kester, Nicole; University of Toronto, Department of Emergency Medicine Cardinal, Pierre; University of Ottawa, Department of Critical Care Medicine Au, Shelly; Sunnybrook Health Sciences Centre, Department of Anesthesia Lam, Sandy; University of Ottawa, Department of Anesthesiology and Pain Medicine Boet, Sylvain; University of Ottawa, Department of Anesthesiology and Pain Medicine Perioperative Anesthesia Clinical Trials Group , Perioperative Anesthesia Clinical Trials; University of Manitoba, Department of Anesthesia</p>
Keywords:	Adult anaesthesia < ANAESTHETICS, MEDICAL EDUCATION & TRAINING, Adult intensive & critical care < INTENSIVE & CRITICAL CARE, EDUCATION & TRAINING (see Medical Education & Training)

SCHOLARONE™
Manuscripts

Title

Impact of acute care physician's age on crisis management performance and learning after simulation-based education: protocol for a prospective cohort trial

Authors

Fahad Alam (Fahad.alam@sunnybrook.ca)¹, Vicki R LeBlanc (vleblan3@uottawa.ca)², Alan Baxter (abaxter@ottawahospital.on.ca)³, Jordan Tarshis (Jordan.tarshis@sunnybrook.ca)¹, Dominique Piquette (Dominique.piquette@sunnybrook.ca)⁴, Yuqi Gu (GuY@Dal.Ca)³, Caroline Filipkowska (caroline.filipkowska@sunnybrook.ca)⁵, Ashley Krywenky (akrywenky@toh.ca)⁶, Nicole Kester-Greene (nicole.kester@me.com)⁵, Pierre Cardinal (PCARDINAL@toh.ca)⁷, Shelly Au (shelly.au@sunnybrook.ca)¹, Sandy Lam (salam@toh.ca)³, Sylvain Boet (sboet@toh.on.ca)^{2,3}; and Perioperative Anesthesia Clinical Trials Group (canadianpact@gmail.com)^{8,*}

1. Department of Anesthesia, Sunnybrook Health Sciences Centre, University of Toronto, Toronto, ON
2. Department of Innovation in Medical Education and University of Ottawa Skills and Simulation Centre, The Ottawa Hospital, University of Ottawa, Ottawa, ON
3. Department of Anesthesiology and Pain Medicine, The Ottawa Hospital, University of Ottawa, Ottawa, ON
4. Department of Critical Care Medicine, Sunnybrook Health Sciences Centre, University of Toronto, Toronto, ON
5. Department of Emergency Medicine, Sunnybrook Health Sciences Centre, University of Toronto, Toronto, ON
6. Department of Emergency Medicine, The Ottawa Hospital, University of Ottawa, Ottawa, ON
7. Department of Critical Care Medicine, The Ottawa Hospital, Ottawa, ON
8. Department of Anesthesia, University of Manitoba, Winnipeg, MB

- 1
2
3
4 * Current members of the Perioperative Anesthesia Clinical Trials Group (see
5 acknowledgement section)
6
7
8

9 **Word Count (excluding tables, figures, references):** 2704
10
11
12

13 **Number of Tables/Figures:** 1 Table, 1 Figure
14
15

16
17
18 **Corresponding Author**
19

20 Fahad Alam
21

22 Department of Anesthesia, Sunnybrook Health Sciences Centre
23

24 2075 Bayview Ave, Room M3-200, Toronto, Ontario, Canada, M4N 3M5
25

26 Tel (+1) 416-480-4864; Fax (+1) 416-480-6039; E-mail: fahad.alam@sunnybrook.ca
27
28
29
30
31

32 **Keywords (3-10 words):**
33

34 Ageing; Continuing Education and Training; Patient Safety; Randomized Controlled Trial;
35
36

37 Simulation Education
38
39
40
41
42
43
44
45
46
47
48
49
50
51
52
53
54
55
56
57
58
59
60

Abstract

Introduction: The proportion of older acute care physicians (ACPs) has been steadily increasing. Ageing is associated with physiological changes and prospective research investigating how such age-related physiological changes affect clinical performance, including crisis resource management (CRM) skills, is lacking. There is a gap in the literature on whether physicians' age influences baseline CRM performance and also learning from simulation. We aim to investigate whether ageing is associated with baseline CRM skills of ACPs (emergency, critical care, anesthesia) using simulated crisis scenarios and to assess whether ageing influences learning from simulation-based education.

Methods and Analysis: This is a prospective cohort multicenter study recruiting ACPs from the Universities of Toronto and Ottawa, Canada. Each participant will manage an Advanced Cardiovascular Life Support (ACLS) crisis simulated scenario (pre-test) and then be debriefed on their CRM skills. They will then manage another simulated crisis scenario (immediate post-test). Three months after, participants will return to manage a third simulated crisis scenario (retention post-test). The relationship between biological age and chronological age will be assessed by measuring the participants CRM skills and their ability to learn from high-fidelity simulation.

Ethics and Dissemination: This protocol was approved by Sunnybrook Health Sciences Centre Research Ethics Board (REB Number 140-2015) and the Ottawa Health Science Network Research Ethics Board (#20150173-01H). The results will be disseminated in a peer reviewed journal, and at scientific meetings.

Trial Registration: NCT02683447; Pre-results

Strengths and Limitations of the Study:

- Acute care physicians are recruited from various institutions across Ontario from three specialties
- Participants are immediately debriefed by experts on their crisis resource management performance
- Simulation environment for each scenario is tailored to the participant's specialty
- Ageing physicians likely did not train with mannequin-based simulation compared to physicians who recently completed their certification

For peer review only

Introduction

The proportion of older acute care physicians (ACPs) has been steadily increasing.[1] Within Canada, approximately 32% - 39% of anesthesiologists are over the age of 55. A survey of members of the American Society of Anesthesiologists in 2013 revealed that a greater percentage of members are older (>55) in 2013 compared to 2007. These numbers are similar for emergency and critical care physicians, where the proportion of the workforce over 55 years of age is also 33% - 40%.[2] This shift in the demographics may be explained by various factors. It can partially be attributed to the recent economic crisis leading to delayed retirement. Also, in the early 1990s, there was a reduction of residency positions, likely explaining the smaller population of middle aged ACPs and hence, increasing demand for the older population to meet the needs of the healthcare system.[3, 4] Recent studies have also reported an overall shortage of healthcare providers of all ages with conditions varying by region. This is also another reason for a greater number of older ACPs currently working, as it calls upon delayed retirement of the older physicians to meet the demands of the healthcare system secondary to this shortage.[5-7]

Acute care specialties such as critical care, emergency medicine and anesthesiology, require its providers to both excel at technical and non-technical skills (e.g. teamwork, communication and leadership) and function at a high cognitive level in a fast-paced environment that requires quick decision-making and problem solving. Ageing is associated with physiological changes, which in turn can influence both a physician's clinical and decision-making abilities. The time required for processing information is prolonged and decision-making can be compromised in physicians as they age.[8, 10, 11, 14] Physiological stress impacts the ageing physician to great extent with potential consequences on performance. The prevalence of stress, illness, fatigue, and dementia increases as one age.[3, 8-11] Manual dexterity can also be affected with the onset of arthritis and alterations in visual acuity.[3, 12] Siu and colleagues

1
2
3 found that anesthesiologists' age and years from residency were associated with decreased
4 simulated cricothyroidotomy proficiency.[5, 13]
5
6

7
8 Research investigating how such ageing-related physiological changes affect clinical
9 performance and patient safety is limited.[12, 15] The common idea that ageing physicians
10 compensate through experience and pattern recognition from previous similar clinical
11 situations[13, 14] has been called into question. First, physiological studies have shown that
12 neural compensation mechanisms to ageing are limited and cannot prevent a certain amount of
13 cognitive decline in the long-term.[16] Secondly, Duclos *et al.* found that older surgeons had an
14 increased rate of patient complications after thyroid surgery.[17] In addition, 10 years of
15 litigation data shows that anesthesiologists in British Columbia, Ontario, and Quebec who are
16 older than 65 have 1.5 times the risk of being involved in litigation compared with those aged
17 less than 51, with the settlements being generally larger.[12, 13] For all specialties, disciplinary
18 incidents involving physicians are likely to occur later in practice, increasing with each 10-year
19 interval since first getting a license.[14, 15, 18] Moreover, the degree of injury identified in the
20 claims of physicians 65 years of age or older was of greater severity.[14] Lastly, studies have
21 shown that long term medical knowledge retention can be negatively impacted with increasing
22 age as well [19]. Overall, human physiology, previous investigations, litigation, disciplinary and
23 critical event data strongly suggests that ageing effects among physicians are not compensated
24 by greater experience as previously thought.
25
26
27
28
29
30
31
32
33
34
35
36
37
38
39
40
41
42
43
44
45
46

47 Crisis Resource Management (CRM) skills are essential clinical skills within acute care
48 specialties, and are vital for patient safety. CRM encompasses technical skills (e.g. defibrillation,
49 drug preparation, intubation), as well as a rapid and structured approach to non-technical,
50 cognitive skills such as decision-making, task management, situational awareness and team
51
52
53
54
55
56
57
58
59
60

1
2
3 management. CRM skills are crucial during life threatening crises and are precisely the
4 type of processing and decision making skills that may decline as one ages, thus contributing to
5 patient safety concerns described above.
6
7
8
9

10 Evidence shows that high-fidelity simulation-based education is effective for learning
11 CRM, transferring skills to the clinical setting, and improving patient outcomes.[20] However,
12 the effectiveness of simulation-based education for teaching CRM has mainly focused on
13 undergraduate and post-graduate learners, whereas limited data is available for the ageing
14 physician population.[21] Despite the limited evidence to support claims that simulation for
15 continuing professional development actually improves learning,[22] simulation-based
16 education has been recommended as a tool to train and assess ACPs.[12, 23] Thus, there is a
17 need to investigate if physicians' age influences baseline CRM performance or learning from
18 simulation-based education.
19
20
21
22
23
24
25
26
27
28
29
30
31
32
33
34
35
36
37
38
39
40
41
42
43
44
45
46
47
48
49
50
51
52
53
54
55
56
57
58
59
60

Methods and Analysis

Aim:

Our research aims are to investigate whether ageing is correlated with baseline CRM skills in acute care physicians and to determine whether ageing influences CRM skill learning from high fidelity simulation and debriefing.

We hypothesize that ACPs' baseline CRM performance as assessed using high-fidelity, simulation-based scenarios decline as physician age increase. Our secondary hypothesis is that although ACPs' CRM performance will increase immediately following simulation-based practice scenarios with feedback, increasing physician age will negatively impact the retention of CRM skills.

Design:

This study is a prospective cohort multicenter interventional study. This study has been registered on **ClinicalTrials.gov** (NCT02683447) and this manuscript follows the SPIRIT (Standard Protocol Items: Recommendations for Interventional Trials) reporting guidelines.[24]

Ethics:

This study will recruit from two large, university-affiliated tertiary centres in Toronto and Ottawa, Canada. Ethical approval was received from the Ottawa Health Science Network Research Ethics Board (#20150173-01H) (Ottawa, ON) and the Sunnybrook Health Sciences Centre, Research Ethics and Human Research Protections Program (#140-2015) (Toronto, ON). Written informed consent and a confidentiality agreement will be obtained from all participants by a trained research assistant or a study investigator. ACPs from the academic affiliated sites of

1
2
3 both universities will be approached for recruitment, with data collection being conducted locally
4
5 in each center. Throughout the study and upon completion of the trial, all data will be stored on
6
7 secure servers at each sites institution. Data will be transferred using secure, encrypted, protected
8
9 file transfer software.
10
11
12
13

14
15 *Participant Characteristics:*

16
17 Practicing emergency, critical care and anesthesia staff with a minimum of 5 years of
18
19 clinical practice post-certification will be approached for participation. Participants will not be
20
21 scheduled for a study session on a post-call day. Participants will be recruited from both
22
23 academic and community sites. In Toronto, a formal simulation training curriculum for faculty
24
25 does not exist. In Ottawa, a curriculum is in development and is in its infancy when it comes to
26
27 implementation.
28
29
30
31
32

33
34 *Simulation Scenario Development:*

35
36 The core concepts pertaining to CRM skills and subsequent management of pulseless
37
38 electrical activity (PEA) arrest will be consolidated into one document by the principal
39
40 investigators (FA and SB) and then sent out to three faculty acute care physicians (one from each
41
42 specialty involved) from Universities not involved in the recruitment, who are trained advanced
43
44 cardiovascular life support (ACLS) instructors, for review and revisions. Once core concepts are
45
46 agreed upon, the three simulation scenarios will be developed. Each scenario will then be piloted
47
48 before recruitment to ensure an equal degree of difficulty.
49
50
51
52

53
54 *Data Collection:*
55
56
57

1
2
3 Research personnel at Sunnybrook Health Sciences Centre will generate computer-based
4 randomization of scenarios for all participants. Study participants will be blinded to their
5 randomization assignment and un-blinding will not occur. The simulation environment for each
6 scenario will be tailored to their respective specialty (i.e. Intensive Care Unit, Operating Room,
7 and Emergency Room). Scenarios will be designed by an interdisciplinary group and will be
8 piloted before recruitment to ensure an equal degree of difficulty. It will consist of a unique
9 inciting event and will result in PEA arrests.
10
11
12
13
14
15
16
17
18

19 Study visits for all participants are listed in Table 1. On day one, participants will
20 complete a demographic questionnaire to *quantify potential confounding factors*, such as
21 previous simulation, ACLS and crisis management experience and a life expectancy
22 questionnaire online to determine subject's biological versus chronological age
23 (www.projectbiglife.ca). Depending on certain lifestyle factors, a person might have a 'younger
24 or older' biological age when compared to their stated chronological age.[25] Next, a
25 standardized structured orientation session will be held for each participant, including a non-
26 crisis simulated scenario for familiarization with the simulation environment. The scenario will
27 be an induction of general anesthesia using rapid sequence induction (a common technique
28 performed by all three acute care specialties in this study).
29
30
31
32
33
34
35
36
37
38
39
40
41

42 Participants will manage three distinct scenarios for this study. All three scenarios will
43 be matched for difficulty. The first will be a PEA arrest scenario (pre-test), followed by a 20
44 minute facilitator-led debrief on their CRM performance. They will then manage another PEA
45 crisis scenario (immediate post-test). Three months later, participants will return and manage a
46 third PEA arrest scenario (retention post-test) in addition to a questionnaire to assess whether
47 they have recently completed ACLS training. The retention post-test can be completed starting
48
49
50
51
52
53
54
55
56
57
58
59
60

1
2
3 at 3 months (up to 6 months) following the initial pre-test. These scenarios will all be video-
4 recorded and all data will be stored on encrypted devices in compliance with local privacy
5 policies, at each institution. Following a pre-written standard script, confederates will
6
7 serve as a respiratory technician and nurse to be directed by the participant, but they will not
8 provide tips or guidance in terms of how to manage the crisis. Two raters who have not worked
9
10 with the participants, blinded to the study hypotheses and test phase will evaluate the
11
12 participant's performance using validated assessment tools stated below.
13
14
15
16
17
18
19
20
21

22 *Performance Measures:*

23
24 The Ottawa Global Rating Scale (GRS) is a tool that has shown validity and reliability
25 evidence for measuring non-technical CRM skills.[26] It assesses each of the following
26 categories on a 7-point anchored scale: situational awareness, leadership, problem solving,
27
28 communication, resource utilization and overall performance.
29
30
31
32

33 A simple checklist that has been shown to be a reliable tool for PEA arrest published
34 by the Heart and Stroke Foundation will be used to assess for adherence to ACLS algorithm
35 (technical skills) in addition to the quality of cardiopulmonary resuscitation.[27] Within each
36 category, the participant gets a dichotomous option ("yes" or "no") for each item required and
37
38 the final score will be determined by tallying up the "yes" scores.
39
40
41
42
43
44
45
46

47 *Outcome measures:*

48
49 We will assess the relationship of biological and chronological age with:

- 50
51
- 52 • CRM skills (Primary Outcome), as measured by the total Ottawa GRS[26] score and the
53 Heart and Stroke ACLS checklist for PEA.[27]
54
55
56
57

- Learning from high-fidelity simulation education (Secondary Outcome), measured by change in performance *from pre-test, immediate post-test, and retention post-test* using the Ottawa GRS scale[26] and the ACLS checklist for PEA.[27]

Statistical Analysis:

Descriptive statistics will be calculated for all variables of interest. Continuous measures such as age will be summarized using means and standard deviations whereas categorical measures will be summarized using counts and percentages.

To test the first hypothesis, the association between CRM skills and age measured using the Ottawa GRS and ACLS checklist, we will use a Pearson correlation (or Spearman correlation for non-normal data). We will then conduct a multivariable linear regression model analysis including demographic variables of interest (i.e. past simulation experience, previous ACLS management) and time of retention test (i.e., between 3-6 months following initial post-test) as predictor variables. This model will also adjust for the correlation among observations taken from the same site.

The secondary outcome of change in the Ottawa GRS and ACLS checklist score over time will be analyzed using a repeated measures analysis of variance (ANOVA), adjusting for the correlation among observations from the same participant. This analysis will be followed by specific pairwise comparisons: 1- pre-test (scenario 1) compared to immediate post-test (scenario 2), and 2- immediate post-test (scenario 2) compared to retention post-test (scenario 3).

Sample Size Estimate:

1
2
3 Our primary analysis looks at the relationship between age and CRM skills. A sample of
4
5 60 will provide 80% power at alpha of 0.05 to detect a correlation of 0.72 or greater (a high
6
7 correlation) compared to a null hypothesis value of 0.5 (a moderate correlation). The sample size
8
9 calculation was carried out using PASS Version 12 (Hintze, J. (2014). NCSS, LLC. Kaysville,
10
11 Utah).

12 13 14 15 16 17 **Ethics and Dissemination**

18
19 This study will explore the relationship between ageing with CRM performance and
20
21 learning in a simulated clinical setting. As such, the results will be a critical first step in
22
23 informing continuing professional development practices and be the foundation for future studies
24
25 investigating this medical population. Furthermore, no matter the outcome, the results of this
26
27 study will be part of the discussion in helping shape not only national policy regarding practice
28
29 assessment, but also help guide continuing professional development for ageing physicians.

30
31
32
33 This study aims to investigate whether ageing is correlated with baseline CRM skills in
34
35 ACPs and determine whether ageing influences the acquisition and retention of CRM skills from
36
37 theatre-based simulation and debriefing. If ageing does have an impact on CRM skills in
38
39 physicians, then methods can be implemented aimed at assessing and intervening through
40
41 continuing professional development earlier in a physician's career. Hopefully, this can prevent
42
43 potential negative patient outcomes. One such method could be through the use of simulation,
44
45 but this study will first delineate whether this method of instruction needs to be modified for
46
47 older more experienced clinicians. If they do not learn the same way as residents, and we are
48
49 delivering instruction based on research conducted with junior learners, then this may be
50
51 ineffective for older physicians. This study will help clarify this uncertainty.
52
53
54
55
56
57
58
59
60

1
2
3 The main challenge of this study is recruiting and scheduling physicians. Financial
4 compensation has been identified as a barrier for staff participation in simulation sessions.[28]
5
6 To mitigate this, we include continuing professional development section 3 credits for all
7
8 participants in order to facilitate recruitment, allowing participants to track and document their
9
10 skills, knowledge and experience that is gained formally and informally as it is mandatory for all
11
12 practicing physicians complete a required number of credits to maintain their status with the
13
14 Royal College of Physicians and Surgeons of Canada. There also is potential for an unintentional
15
16 recruitment bias since ageing physicians likely did not train with mannequin-based simulation.
17
18 To account for this, investigators will present at grand rounds with each acute care department to
19
20 emphasize the implications of this study. Another challenge might be the concept of biological
21
22 age vs. chronological age. This study will be using both chronological and biological age to
23
24 mitigate this potential confounder.
25
26
27
28
29

30
31 Findings will be presented at local and national meetings (e.g., Canadian
32
33 Anesthesiologists' Society Annual Meeting) and we plan to publish our study in a peer-reviewed
34
35 journal as an open access article. Lastly, we intend to discuss findings at national specialty
36
37 societies, interested provincial Colleges of Medicine and the Royal College of Physicians and
38
39 Surgeons, with the goal of developing and implementing appropriate continuing education
40
41 strategies for ACPs.
42
43

44
45 In conclusion, the results from this study will fill in the gap in the literature on whether
46
47 physicians' age influences baseline CRM performance and also learning from simulation. The
48
49 results will be a critical first step in helping shape and develop continuing education tailored to
50
51 physicians' age.
52
53
54
55
56
57
58
59
60

List of Abbreviations

ACLS= Advance Cardiac Life Support

ACPs= acute care physicians

CRM = crisis resource management

GRS= Global Rating Scale

PEA= pulseless electrical activity

For peer review only

Acknowledgements

We would like to thank and acknowledge: Current members of the Perioperative Anesthesia Clinical Trials Group (Eric Jacobsohn (Chair) University of Manitoba; Scott Beattie, University of Toronto; André Denault, Université de Montréal; Ron George, Dalhousie University; Hilary Grocott, University of Manitoba; Richard Hall, Dalhousie University; Heather McDonald, University of Manitoba; Daniel I. McIsaac, University of Ottawa; C. David Mazer, University of Toronto; Manoj Lalu, University of Ottawa; Sonia Sampson, Memorial University; Alexis Turgeon, Université Laval; Homer Yang, University of Ottawa); Dr. Alex Kiss from Sunnybrook Research Institute for his insights on data analysis; Susan DeSousa for her assistance at the Sunnybrook Simulation Centre; Kathrina Flores and Jessica Pacquing for their role as confederates at Sunnybrook Health Sciences Centre.

Author's contributions

FA and SB contributed to secure research funding and conceived and designed all aspects of the study protocol. AB, VL, JT, DP, CF, NK-G, YG, AK, PC, SA and SL contributed to the study design. FA, SB, and SA drafted and finalized the manuscript. All authors have approved the final manuscript. This study has been endorsed by the Perioperative Anesthesia Clinical Trials Group.

For peer review only

Funding

At the time of submission, this study has received two grants from (1) Phil R. Manning Research Award; Continuing Medical Education, the Society for Academic Continuing Medical Education; and (2) Department of Innovation in Medical Education, Education Healthcare Grant, University of Ottawa. Dr. Boet was supported by The Ottawa Hospital Anesthesia Alternate Funds Association. Funders have no role in the study design, data collection, management, analysis or interpretation of the data.

1
2
3
4
5
6
7
8
9
10
11
12
13
14
15
16
17
18
19
20
21
22
23
24
25
26
27
28
29
30
31
32
33
34
35
36
37
38
39
40
41
42
43
44
45
46
47
48
49
50
51
52
53
54
55
56
57
58
59
60

Competing Interests

The authors have no conflicts of interest to declare.

For peer review only

Table 1: Study visits

	Visit -1	Visit 0	Visit 1	Visit 2	Visit 3
ENROLMENT:					
Eligibility screen	X				
Informed consent	X				
Allocation		X			
INTERVENTIONS:					
Demographic questionnaire			X		
Life expectancy questionnaire			X		
Orientation and non-crisis scenario			X		
Pre-test			X		
Debrief *			X	X	
Immediate post-test			X		
Retention post-test				X	
ASSESSMENTS:					
Ottawa global rating scale **					X
Advance cardiac life support checklist **					X

* to be performed by experienced debriefers **to be performed by two independent raters

References

1. Information ClfH: Geographic Distribution of Physicians in Canada. 2005.
2. Colleges AoAM: Center for Workforce Studies: 2012 Physician Specialty Data Book. 2012.
3. Katz JD: Issues of concern for the aging anesthesiologist. *Anesthesia & Analgesia* 2001, 92:1487-1492.
4. Baird M, Daugherty L, Kumar KB, Arifkhanova A: The Anesthesiologist Workforce in 2013. 2014.
5. Siu LW, Boet S, Borges BC, Bruppacher HR, LeBlanc V, Naik VN, Riem N, Chandra DB, Joo HS: High-fidelity simulation demonstrates the influence of anesthesiologists' age and years from residency on emergency cricothyroidotomy skills. *Anesthesia & Analgesia* 2010, 111:955-960.
6. An Analysis of the Labor Markets for Anesthesiology
[\[http://www.rand.org/pubs/technical_reports/TR688\]](http://www.rand.org/pubs/technical_reports/TR688)
7. USHRAS A: The Critical Care Workforce. 2006.
8. Durning SJ, Artino AR, Holmboe E, Beckman TJ, van der Vleuten C, Schuwirth L: Aging and cognitive performance: challenges and implications for physicians practicing in the 21st century. *Journal of Continuing Education in the Health Professions* 2010, 30:153-160.
9. Eva KW: The aging physician: changes in cognitive processing and their impact on medical practice. *Academic Medicine* 2002, 77:S1-S6.
10. Trunkey DD, Botney R: Assessing competency: a tale of two professions. *Journal of the American College of Surgeons* 2001, 192:385-395.
11. Turnbull J, Carbotte R, Hanna E, Norman G, Cunningham J, Ferguson B, Kaigas T: Cognitive difficulty in physicians. *Academic Medicine* 2000, 75:177-181.
12. Baxter AD, Boet S, Reid D, Skidmore G: The aging anesthesiologist: a narrative review and suggested strategies. *Canadian Journal of Anesthesia/Journal canadien d'anesthésie* 2014, 61:865-875.
13. Norman G, Young M, Brooks L: Non-analytical models of clinical reasoning: The role of experience. *Medical education* 2007, 41:1140-1145.
14. Tessler MJ, Shrier I, Steele RJ: Association between anesthesiologist age and litigation. *Survey of Anesthesiology* 2012, 56:263-264.
15. Alam A, Khan J, Liu J, Klemensberg J, Griesman J, Bell CM: Characteristics and rates of disciplinary findings amongst anesthesiologists by professional colleges in Canada. *Canadian Journal of Anesthesia/Journal canadien d'anesthésie* 2013, 60:1013-1019.
16. Hedden T, Gabrieli JD: Insights into the ageing mind: a view from cognitive neuroscience. *Nature reviews neuroscience* 2004, 5:87-96.
17. Duclos A, Peix J-L, Colin C, Kraimps J-L, Menegaux F, Pattou F, Sebag F, Touzet S, Bourdy S, Voirin N: Influence of experience on performance of individual surgeons in thyroid surgery: prospective cross sectional multicentre study. *BMJ* 2012, 344:d8041.
18. Khaliq AA, Dimassi H, Huang C-Y, Narine L, Smego RA: Disciplinary action against physicians: who is likely to get disciplined? *The American journal of medicine* 2005, 118:773-777.
19. Custers EJ, Ten Cate OT: Very long-term retention of basic science knowledge in doctors after graduation. *Med Educ* 2011, 45:422-430
20. Boet S, Bould MD, Fung L, Qosa H, Perrier L, Tavares W, Reeves S, Tricco AC: Transfer of learning and patient outcome in simulated crisis resource management: a systematic review. *Canadian Journal of Anesthesia/Journal canadien d'anesthésie* 2014, 61:571-582.
21. Marinopoulos SS, Dorman T, Ratanawongsa N, Wilson LM, Ashar BH, Magaziner JL, Miller RG, Thomas PA, Prokopowicz GP, Qayyum R: Effectiveness of continuing medical education. 2007.

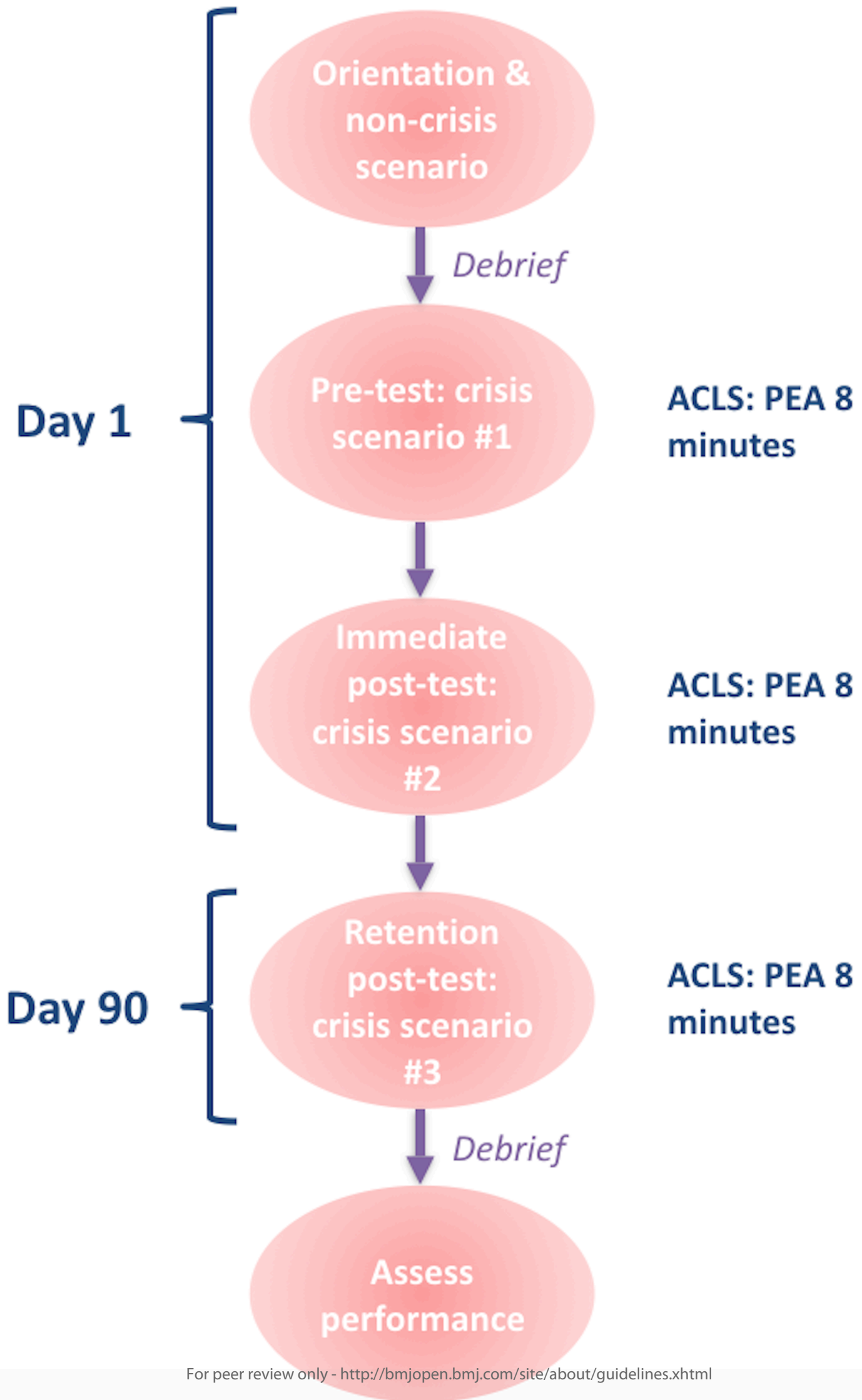
- 1
- 2
- 3 22. Khanduja PK, Bould MD, Naik VN, Hladkowicz E, Boet S: The role of simulation in continuing
- 4 medical education for acute care physicians: a systematic review*. *Critical care medicine* 2015,
- 5 43:186-193.
- 6 23. Steadman RH: Improving on reality: can simulation facilitate practice change? *Anesthesiology*
- 7 2010, 112:775-776.
- 8 24. Chan A-W, Tetzlaff JM, Altman DG, Laupacis A, Gøtzsche PC, Krlježa-Jerić K, Hróbjartsson A,
- 9 Mann H, Dickersin K, Berlin JA: SPIRIT 2013 statement: defining standard protocol items for
- 10 clinical trials. *Ann Intern Med* 2013, 158:200-207.
- 11 25. Roizen MF: *RealAge: Are you as young as you can be?*: Harper Collins; 2010.
- 12 26. Kim J, Neilipovitz D, Cardinal P, Chiu M, Clinch J: A pilot study using high-fidelity simulation to
- 13 formally evaluate performance in the resuscitation of critically ill patients: The University of
- 14 Ottawa Critical Care Medicine, High-Fidelity Simulation, and Crisis Resource Management I
- 15 Study. *Critical care medicine* 2006, 34:2167-2174.
- 16 27. McEvoy MD, Smalley JC, Nietert PJ, Field LC, Furse CM, Blenko JW, Cobb BG, Walters JL,
- 17 Pendarvis A, Dalal NS: Validation of a detailed scoring checklist for use during advanced cardiac
- 18 life support certification. *Simulation in healthcare: journal of the Society for Simulation in*
- 19 *Healthcare* 2012, 7:222.
- 20 28. Savoldelli GL, Naik VN, Hamstra SJ, Morgan PJ: Barriers to use of simulation-based education.
- 21 *Canadian Journal of Anesthesia* 2005, 52:944-950.
- 22
- 23
- 24
- 25
- 26
- 27
- 28
- 29
- 30
- 31
- 32
- 33
- 34
- 35
- 36
- 37
- 38
- 39
- 40
- 41
- 42
- 43
- 44
- 45
- 46
- 47
- 48
- 49
- 50
- 51
- 52
- 53
- 54
- 55
- 56
- 57
- 58
- 59
- 60

1
2
3
4
5
6
7
8
9
10
11
12
13
14
15
16
17
18
19
20
21
22
23
24
25
26
27
28
29
30
31
32
33
34
35
36
37
38
39
40
41
42
43
44
45
46
47
48
49
50
51
52
53
54
55
56
57
58
59
60

Figure 1: Study flow chart for participants consented and randomized to this study.

For peer review only

1
2
3
4
5
6
7
8
9
10
11
12
13
14
15
16
17
18
19
20
21
22
23
24
25
26
27
28
29
30
31
32
33
34
35
36
37
38
39
40
41
42
43
44
45
46
47
48
49
50
51
52
53
54
55
56
57
58
59
60





SPIRIT 2013 Checklist: Recommended items to address in a clinical trial protocol and related documents*

Section/item	Item No	Description	Addressed on page number
Administrative information			
Title	1	Descriptive title identifying the study design, population, interventions, and, if applicable, trial acronym	___ 1 ___
Trial registration	2a	Trial identifier and registry name. If not yet registered, name of intended registry	___ 3 ___
	2b	All items from the World Health Organization Trial Registration Data Set	See trial registration
Protocol version	3	Date and version identifier	See trial registration ___
Funding	4	Sources and types of financial, material, and other support	___ 15 ___
Roles and responsibilities	5a	Names, affiliations, and roles of protocol contributors	___ 1 and 15 ___
	5b	Name and contact information for the trial sponsor	___ N/A ___
	5c	Role of study sponsor and funders, if any, in study design; collection, management, analysis, and interpretation of data; writing of the report; and the decision to submit the report for publication, including whether they will have ultimate authority over any of these activities	___ 15 ___
5d	Composition, roles, and responsibilities of the coordinating centre, steering committee, endpoint adjudication committee, data management team, and other individuals or groups overseeing the trial, if applicable (see Item 21a for data monitoring committee)	___ 7-10 ___	

Introduction

Background and rationale	6a	Description of research question and justification for undertaking the trial, including summary of relevant studies (published and unpublished) examining benefits and harms for each intervention	___4-6___
	6b	Explanation for choice of comparators	___5___
Objectives	7	Specific objectives or hypotheses	___5___
Trial design	8	Description of trial design including type of trial (eg, parallel group, crossover, factorial, single group), allocation ratio, and framework (eg, superiority, equivalence, noninferiority, exploratory)	___6___

Methods: Participants, interventions, and outcomes

Study setting	9	Description of study settings (eg, community clinic, academic hospital) and list of countries where data will be collected. Reference to where list of study sites can be obtained	___7___
Eligibility criteria	10	Inclusion and exclusion criteria for participants. If applicable, eligibility criteria for study centres and individuals who will perform the interventions (eg, surgeons, psychotherapists)	___8___
Interventions	11a	Interventions for each group with sufficient detail to allow replication, including how and when they will be administered	___8-10___
	11b	Criteria for discontinuing or modifying allocated interventions for a given trial participant (eg, drug dose change in response to harms, participant request, or improving/worsening disease)	___N/A___
	11c	Strategies to improve adherence to intervention protocols, and any procedures for monitoring adherence (eg, drug tablet return, laboratory tests)	___N/A___
	11d	Relevant concomitant care and interventions that are permitted or prohibited during the trial	___N/A___
Outcomes	12	Primary, secondary, and other outcomes, including the specific measurement variable (eg, systolic blood pressure), analysis metric (eg, change from baseline, final value, time to event), method of aggregation (eg, median, proportion), and time point for each outcome. Explanation of the clinical relevance of chosen efficacy and harm outcomes is strongly recommended	___10___
Participant timeline	13	Time schedule of enrolment, interventions (including any run-ins and washouts), assessments, and visits for participants. A schematic diagram is highly recommended (see Figure)	___19___

1
2
3
4
5
6
7
8
9
10
11
12
13
14
15
16
17
18
19
20
21
22
23
24
25
26
27
28
29
30
31
32
33
34
35
36
37
38
39
40
41
42
43
44
45
46
47

Sample size 14 Estimated number of participants needed to achieve study objectives and how it was determined, including clinical and statistical assumptions supporting any sample size calculations _____11_____

Recruitment 15 Strategies for achieving adequate participant enrolment to reach target sample size _____11_____

Methods: Assignment of interventions (for controlled trials)

Allocation:

Sequence generation 16a Method of generating the allocation sequence (eg, computer-generated random numbers), and list of any factors for stratification. To reduce predictability of a random sequence, details of any planned restriction (eg, blocking) should be provided in a separate document that is unavailable to those who enrol participants or assign interventions _____8_____

Allocation concealment mechanism 16b Mechanism of implementing the allocation sequence (eg, central telephone; sequentially numbered, opaque, sealed envelopes), describing any steps to conceal the sequence until interventions are assigned _____N/A_____

Implementation 16c Who will generate the allocation sequence, who will enrol participants, and who will assign participants to interventions _____8_____

Blinding (masking) 17a Who will be blinded after assignment to interventions (eg, trial participants, care providers, outcome assessors, data analysts), and how _____8_____

17b If blinded, circumstances under which unblinding is permissible, and procedure for revealing a participant's allocated intervention during the trial _____8_____

Methods: Data collection, management, and analysis

Data collection methods 18a Plans for assessment and collection of outcome, baseline, and other trial data, including any related processes to promote data quality (eg, duplicate measurements, training of assessors) and a description of study instruments (eg, questionnaires, laboratory tests) along with their reliability and validity, if known. Reference to where data collection forms can be found, if not in the protocol _____8-10_____

18b Plans to promote participant retention and complete follow-up, including list of any outcome data to be collected for participants who discontinue or deviate from intervention protocols _____N/A_____

1				
2				
3	Data management	19	Plans for data entry, coding, security, and storage, including any related processes to promote data quality (eg, double data entry; range checks for data values). Reference to where details of data management procedures can be found, if not in the protocol	___9-11___
4				
5				
6				
7	Statistical methods	20a	Statistical methods for analysing primary and secondary outcomes. Reference to where other details of the statistical analysis plan can be found, if not in the protocol	___10-11___
8				
9				
10		20b	Methods for any additional analyses (eg, subgroup and adjusted analyses)	___10-11___
11				
12		20c	Definition of analysis population relating to protocol non-adherence (eg, as randomised analysis), and any statistical methods to handle missing data (eg, multiple imputation)	___10___
13				
14				

15 **Methods: Monitoring**

16				
17	Data monitoring	21a	Composition of data monitoring committee (DMC); summary of its role and reporting structure; statement of whether it is independent from the sponsor and competing interests; and reference to where further details about its charter can be found, if not in the protocol. Alternatively, an explanation of why a DMC is not needed	___N/A___
18				
19				
20				
21				
22		21b	Description of any interim analyses and stopping guidelines, including who will have access to these interim results and make the final decision to terminate the trial	___N/A___
23				
24				
25	Harms	22	Plans for collecting, assessing, reporting, and managing solicited and spontaneously reported adverse events and other unintended effects of trial interventions or trial conduct	___N/A___
26				
27				
28	Auditing	23	Frequency and procedures for auditing trial conduct, if any, and whether the process will be independent from investigators and the sponsor	___N/A___
29				
30				
31				

32 **Ethics and dissemination**

33				
34	Research ethics approval	24	Plans for seeking research ethics committee/institutional review board (REC/IRB) approval	___7-8___
35				
36				
37	Protocol amendments	25	Plans for communicating important protocol modifications (eg, changes to eligibility criteria, outcomes, analyses) to relevant parties (eg, investigators, REC/IRBs, trial participants, trial registries, journals, regulators)	___7-8___
38				
39				
40				
41				
42				
43				
44				

1				
2				
3	Consent or assent	26a	Who will obtain informed consent or assent from potential trial participants or authorised surrogates, and how (see Item 32)	7-8
4				
5				
6		26b	Additional consent provisions for collection and use of participant data and biological specimens in ancillary studies, if applicable	N/A
7				
8	Confidentiality	27	How personal information about potential and enrolled participants will be collected, shared, and maintained in order to protect confidentiality before, during, and after the trial	8-9
9				
10				
11	Declaration of interests	28	Financial and other competing interests for principal investigators for the overall trial and each study site	14
12				
13				
14	Access to data	29	Statement of who will have access to the final trial dataset, and disclosure of contractual agreements that limit such access for investigators	14
15				
16				
17	Ancillary and post-trial care	30	Provisions, if any, for ancillary and post-trial care, and for compensation to those who suffer harm from trial participation	N/A
18				
19				
20	Dissemination policy	31a	Plans for investigators and sponsor to communicate trial results to participants, healthcare professionals, the public, and other relevant groups (eg, via publication, reporting in results databases, or other data sharing arrangements), including any publication restrictions	12-13
21				
22				
23				
24				
25		31b	Authorship eligibility guidelines and any intended use of professional writers	15
26				
27		31c	Plans, if any, for granting public access to the full protocol, participant-level dataset, and statistical code	N/A
28				
29	Appendices			
30				
31	Informed consent materials	32	Model consent form and other related documentation given to participants and authorised surrogates	21-31
32				
33				
34	Biological specimens	33	Plans for collection, laboratory evaluation, and storage of biological specimens for genetic or molecular analysis in the current trial and for future use in ancillary studies, if applicable	N/A
35				
36				

37 *It is strongly recommended that this checklist be read in conjunction with the SPIRIT 2013 Explanation & Elaboration for important clarification on the items.
 38 Amendments to the protocol should be tracked and dated. The SPIRIT checklist is copyrighted by the SPIRIT Group under the Creative Commons
 39 "[Attribution-NonCommercial-NoDerivs 3.0 Unported](https://creativecommons.org/licenses/by-nc-nd/3.0/)" license.
 40

BMJ Open

Does the age of acute care physician's impact their 1) crisis management performance and 2) learning after simulation-based education? A protocol for a multicentre prospective cohort study in Toronto and Ottawa, Canada.

Journal:	<i>BMJ Open</i>
Manuscript ID	bmjopen-2017-020940.R1
Article Type:	Protocol
Date Submitted by the Author:	09-Mar-2018
Complete List of Authors:	Alam, Fahad; University of Toronto Faculty of Medicine, Anesthesia LeBlanc, Vicki; University of Ottawa, Department of Innovation in Medical Education Baxter, Alan; University of Ottawa, Department of Anesthesiology and Pain Medicine Tarshis, Jordan; University of Toronto, Department of Anesthesia Piquette, Dominique; University of Toronto, Department of Critical Care Medicine Gu, Yuqi; University of Ottawa, Department of Anesthesiology and Pain Medicine Filipkowska, Caroline; University of Toronto, Department of Emergency Medicine Krywenky, Ashley; University of Ottawa, Department of Emergency Medicine Kester, Nicole; University of Toronto, Department of Emergency Medicine Cardinal, Pierre; University of Ottawa, Department of Critical Care Medicine Au, Shelly; Sunnybrook Health Sciences Centre, Department of Anesthesia Lam, Sandy; University of Ottawa, Department of Anesthesiology and Pain Medicine Boet, Sylvain; University of Ottawa, Department of Anesthesiology and Pain Medicine Perioperative Anesthesia Clinical Trials Group , Perioperative Anesthesia Clinical Trials; University of Manitoba, Department of Anesthesia
Primary Subject Heading:	Medical education and training
Secondary Subject Heading:	Medical management, Anaesthesia, Emergency medicine, Intensive care
Keywords:	Adult anaesthesia < ANAESTHETICS, MEDICAL EDUCATION & TRAINING, Adult intensive & critical care < INTENSIVE & CRITICAL CARE, EDUCATION & TRAINING (see Medical Education & Training)

SCHOLARONE™
Manuscripts

1
2
3
4
5
6
7
8
9
10
11
12
13
14
15
16
17
18
19
20
21
22
23
24
25
26
27
28
29
30
31
32
33
34
35
36
37
38
39
40
41
42
43
44
45
46
47
48
49
50
51
52
53
54
55
56
57
58
59
60

For peer review only

Title

Does the age of acute care physician's impact their 1) crisis management performance and 2) learning after simulation-based education? A protocol for a multicentre prospective cohort study in Toronto and Ottawa, Canada.

Authors

Fahad Alam (Fahad.alam@sunnybrook.ca)¹, Vicki R LeBlanc (vleblan3@uottawa.ca)², Alan Baxter (abaxter@ottawahospital.on.ca)³, Jordan Tarshis (Jordan.tarshis@sunnybrook.ca)¹, Dominique Piquette (Dominique.piquette@sunnybrook.ca)⁴, Yuqi Gu (GuY@Dal.Ca)³, Caroline Filipkowska (caroline.filipkowska@sunnybrook.ca)⁵, Ashley Krywenky (akrywenky@toh.ca)⁶, Nicole Kester-Greene (nicole.kester@me.com)⁵, Pierre Cardinal (PCARDINAL@toh.ca)⁷, Shelly Au (shelly.au@sunnybrook.ca)¹, Sandy Lam (salam@toh.ca)³, Sylvain Boet (sboet@toh.on.ca)^{2, 3}; and Perioperative Anesthesia Clinical Trials Group (canadianpact@gmail.com)^{8,*}

1. Department of Anesthesia, Sunnybrook Health Sciences Centre, University of Toronto, Toronto, ON
2. Department of Innovation in Medical Education and University of Ottawa Skills and Simulation Centre, The Ottawa Hospital, University of Ottawa, Ottawa, ON
3. Department of Anesthesiology and Pain Medicine, The Ottawa Hospital, University of Ottawa, Ottawa, ON
4. Department of Critical Care Medicine, Sunnybrook Health Sciences Centre, University of Toronto, Toronto, ON
5. Department of Emergency Medicine, Sunnybrook Health Sciences Centre, University of Toronto, Toronto, ON
6. Department of Emergency Medicine, The Ottawa Hospital, University of Ottawa, Ottawa, ON
7. Department of Critical Care Medicine, The Ottawa Hospital, Ottawa, ON

1
2
3
4 8. Department of Anesthesia, University of Manitoba, Winnipeg, MB
5

6
7 * Current members of the Perioperative Anesthesia Clinical Trials Group (see
8 acknowledgement section)
9

10
11 **Word Count (excluding tables, figures, references): 2596**
12

13
14
15
16 **Number of Tables/Figures:** 1 Table, 1 Figure
17

18
19
20 **Corresponding Author**
21

22 Fahad Alam
23

24
25 Department of Anesthesia, Sunnybrook Health Sciences Centre
26

27 2075 Bayview Ave, Room M3-200, Toronto, Ontario, Canada, M4N 3M5
28

29
30 Tel (+1) 416-480-4864; Fax (+1) 416-480-6039; E-mail: fahad.alam@sunnybrook.ca
31

32
33
34 **Keywords (3-10 words):**
35

36 Ageing; Continuing Education and Training; Patient Safety; Randomized Controlled Trial;
37

38
39 Simulation Education
40
41
42
43
44
45
46
47
48
49
50
51
52
53
54
55
56
57
58
59
60

Abstract

Introduction: The proportion of older acute care physicians (ACPs) has been steadily increasing. Ageing is associated with physiological changes and prospective research investigating how such age-related physiological changes affect clinical performance, including crisis resource management (CRM) skills, is lacking. There is a gap in the literature on whether physician's age influences baseline CRM performance and also learning from simulation. We aim to investigate whether ageing is associated with baseline CRM skills of ACPs (emergency, critical care, anesthesia) using simulated crisis scenarios and to assess whether ageing influences learning from simulation-based education.

Methods and Analysis: This is a prospective cohort multicenter study recruiting ACPs from the Universities of Toronto and Ottawa, Canada. Each participant will manage an Advanced Cardiovascular Life Support (ACLS) crisis simulated scenario (pre-test) and then be debriefed on their CRM skills. They will then manage another simulated crisis scenario (immediate post-test). Three months after, participants will return to manage a third simulated crisis scenario (retention post-test). The relationship between biological age and chronological age will be assessed by measuring the participants CRM skills and their ability to learn from high-fidelity simulation.

Ethics and Dissemination: This protocol was approved by Sunnybrook Health Sciences Centre Research Ethics Board (REB Number 140-2015) and the Ottawa Health Science Network Research Ethics Board (#20150173-01H). The results will be disseminated in a peer reviewed journal, and at scientific meetings.

Trial Registration: NCT02683447; Pre-results

Strengths and Limitations of the Study:

- Acute care physicians are recruited from various institutions across Ontario from three specialties
- Participants are immediately debriefed by experts on their crisis resource management performance
- Simulation environment for each scenario is tailored to the participant's specialty
- Ageing physicians likely did not train with mannequin-based simulation compared to physicians who recently completed their certification

For peer review only

Introduction

The proportion of older acute care physicians (ACPs) has been steadily increasing.[1] Within Canada, approximately 32% - 40% of anesthesiologists, emergency and critical care physicians are over the age of 55. A survey of members of the American Society of Anesthesiologists in 2013 revealed that a greater percentage of members are older (>55) in 2013 compared to 2007.[2] The shift in workforce demographics may be explained by several factors such as the recent economic crisis, which has forced some physicians to choose to delay retirement. Furthermore, the reduction in the number of residency positions in the early 1990s led to a smaller proportion of middle aged ACPs.[3-4] Thus, with an overall shortage of healthcare providers, this has led to a greater proportion of older ACPs delaying retirement in order to meet the demands of the healthcare system.

Acute care specialties such as critical care, emergency medicine and anesthesiology, require providers to excel at both technical and non-technical skills (e.g. teamwork, communication and leadership) and function at a high cognitive level in a fast-paced environment that requires quick decision-making and problem solving. Ageing is associated with physiological changes, which in turn can influence both a physician's clinical and decision-making abilities. The time required for processing information is prolonged and decision-making can be compromised in physicians as they age.[5-8] Physiological stress impacts the ageing physician to a great extent (compared to their younger cohort) with potential consequences on performance. The prevalence of stress, illness, fatigue, and dementia increases as one ages.[3, 5-7, 9] Manual dexterity can also be affected with the onset of arthritis and alterations in visual acuity.[3, 10] Siu and colleagues found that anesthesiologist's age and years from residency were associated with decreased simulated cricothyroidotomy proficiency.[5, 11]

1
2
3 Research investigating how such ageing-related physiological changes affect clinical
4 performance and patient safety is limited.[10, 12] The common idea that ageing physicians
5 compensate through experience and pattern recognition from previous similar clinical
6 situations[8, 11] has been called into question. First, physiological studies have shown that
7 neural compensation mechanisms to ageing are limited and cannot prevent a certain amount of
8 cognitive decline in the long-term.[13] Secondly, Duclos *et al.* found that older surgeons had an
9 increased rate of patient complications after thyroid surgery.[14] In addition, 10 years of
10 litigation data shows that anesthesiologists in British Columbia, Ontario, and Quebec who are
11 older than 65 have 1.5 times the risk of being involved in litigation compared with those aged
12 less than 51, with the settlements being generally larger.[10-11] For all specialties, disciplinary
13 incidents involving physicians are likely to occur later in practice, increasing with each 10-year
14 interval since first getting a license.[8, 12, 15] Moreover, the degree of injury identified in the
15 claims of physicians 65 years of age or older was of greater severity.[8] Lastly, studies have
16 shown that long term medical knowledge retention can be negatively impacted with increasing
17 age as well [16]. Overall, human physiology, previous investigations, litigation, disciplinary and
18 critical event data strongly suggests that ageing effects among physicians are not compensated
19 by greater experience as previously thought.

20
21
22
23
24
25
26
27
28
29
30
31
32
33
34
35
36
37
38
39
40
41
42 Crisis Resource Management (CRM) skills are essential clinical skills within acute care
43 specialties, and are vital for patient safety. CRM encompasses technical skills (e.g. defibrillation,
44 drug preparation, intubation), as well as a rapid and structured approach to non-technical,
45 cognitive skills such as decision-making, task management, situational awareness and team
46 management. CRM skills are crucial during life threatening crises and are precisely the
47
48
49
50
51
52
53
54
55
56
57
58
59
60

1
2
3 type of processing and decision-making skills that may decline as one ages, thus contributing to
4
5 patient safety concerns described above.
6

7
8 Evidence shows that high-fidelity simulation-based education is effective for learning
9
10 CRM, transferring skills to the clinical setting, and improving patient outcomes.[17] However,
11
12 the effectiveness of simulation-based education for teaching CRM has mainly focused on
13
14 undergraduate and post-graduate learners, whereas limited data is available for the ageing
15
16 physician population.[18] Despite the limited evidence to support claims that simulation for
17
18 continuing professional development actually improves learning,[19] simulation-based
19
20 education has been recommended as a tool to train and assess ACPs.[10, 20] Thus, there is a
21
22 need to investigate if physicians' age influences baseline CRM performance or learning from
23
24 simulation-based education.
25
26
27
28
29
30
31
32
33
34
35
36
37
38
39
40
41
42
43
44
45
46
47
48
49
50
51
52
53
54
55
56
57
58
59
60

Methods and Analysis

Aim:

Our research aims are to investigate whether ageing impacts CRM skills in acute care physicians and to determine whether ageing influences CRM skill learning from high fidelity simulation and debriefing.

We hypothesize that ACPs' baseline CRM performance as assessed using high-fidelity, simulation-based scenarios decline as physician age increase. Our secondary hypothesis is that although ACPs' CRM performance will increase immediately following simulation-based practice scenarios with feedback, increasing physician age will negatively impact the retention of CRM skills.

Design:

This study is a prospective cohort multicenter interventional study. This study has been registered on **ClinicalTrials.gov** (NCT02683447) and this manuscript follows the SPIRIT (Standard Protocol Items: Recommendations for Interventional Trials) reporting guidelines.[21]

Ethics:

This study will recruit from two large university-affiliated tertiary centres in Toronto and Ottawa, Canada. Ethical approval was received from the Ottawa Health Science Network Research Ethics Board (#20150173-01H) (Ottawa, ON) and the Sunnybrook Health Sciences Centre, Research Ethics and Human Research Protections Program (#140-2015) (Toronto, ON). Written informed consent and a confidentiality agreement will be obtained from all participants by a trained research assistant or a study investigator. ACPs from the academic affiliated sites of

1
2
3 both universities will be approached for recruitment, with data collection being conducted locally
4
5 in each center. Throughout the study and upon completion of the study, all data will be stored on
6
7 secure servers at each sites institution. Data will be transferred using secure, encrypted, protected
8
9 file transfer software.
10

11 12 13 14 15 *Participant Characteristics:*

16
17 All practicing emergency, critical care and anesthesia staff with a minimum of 5 years of
18
19 clinical practice post-certification will be approached for participation. Participants will not be
20
21 scheduled for a study session on a post-call day. Participants will receive email advertisements
22
23 for voluntary participation in the study and all eligible physicians will be recruited from both
24
25 academic and community sites. In Toronto, a formal simulation training curriculum for faculty
26
27 does not exist. In Ottawa, a curriculum is in development and is in its infancy when it comes to
28
29 implementation.
30
31
32
33
34

35 36 37 *Simulation Scenario Development:*

38 The core concepts pertaining to CRM skills and subsequent management of pulseless
39
40 electrical activity (PEA) arrest will be consolidated into one document by the principal
41
42 investigators (FA and SB) and then sent out to three faculty acute care physicians (one from each
43
44 specialty involved) from Universities not involved in the recruitment, who are trained advanced
45
46 cardiovascular life support (ACLS) instructors, for review and revisions. Once core concepts are
47
48 agreed upon, the three simulation scenarios will be developed. The simulation environment for
49
50 each scenario will be tailored to their respective specialty (i.e. Intensive Care Unit, Operating
51
52 Room, and Emergency Room). Each scenario will be adapted in terms of environment
53
54
55
56
57

1
2
3 (layout/equipment) and appropriate background noise (overhead announcements, monitor noise)
4
5 for the participant's specialty to ensure psychological and environmental/technical fidelity. Each
6
7 scenario will then be piloted before recruitment to ensure an equal degree of difficulty and
8
9 appropriate fidelity.
10
11
12
13

14 *Data Collection:*

15
16
17 Research personnel at Sunnybrook Health Sciences Centre will generate computer-based
18
19 randomization of scenarios for all participants. Study participants will be blinded to their
20
21 randomization assignment and un-blinding will not occur. The simulation environment for each
22
23 scenario will be tailored to their respective specialty (i.e. Intensive Care Unit, Operating Room,
24
25 and Emergency Room). Scenarios will be designed by an interdisciplinary group and will be
26
27 piloted before recruitment to ensure an equal degree of difficulty. It will consist of a unique
28
29 inciting event and will result in PEA arrests.
30
31
32

33 An overview of the study visits for all participants are shown in Figure 1, and detailed
34
35 assessments for each visit are listed in Table 1. On day one, participants will complete a
36
37 demographic questionnaire to *quantify potential confounding factors*, such as previous
38
39 simulation, ACLS and crisis management experience and a life expectancy questionnaire online
40
41 to determine subject's biological versus chronological age (www.projectbiglife.ca). Depending
42
43 on certain lifestyle factors, a person might have a 'younger or older' biological age when
44
45 compared to their stated chronological age.[22] Next, a standardized structured orientation
46
47 session will be held for each participant, including a non-crisis simulated scenario for
48
49 familiarization with the simulation environment/equipment in which the study scenarios will take
50
51
52
53
54
55
56
57
58
59
60

1
2
3 place. The scenario will be an induction of general anesthesia using rapid sequence induction (a
4
5 common technique performed by all three acute care specialties in this study).
6

7
8 Participants will manage three distinct scenarios for this study. All three scenarios will
9
10 be matched for difficulty. The first will be a PEA arrest scenario (pre-test), followed by a 20
11
12 minute facilitator-led debrief on their CRM performance. They will then manage another PEA
13
14 crisis scenario (immediate post-test). Three months later, participants will return and manage a
15
16 third PEA arrest scenario (retention post-test) in addition to a questionnaire to assess whether
17
18 they have recently completed ACLS training. The retention post-test can be completed starting
19
20 at 3 months (up to 6 months) following the initial pre-test. These scenarios will all be video-
21
22 recorded and all data will be stored on encrypted devices in compliance with local privacy
23
24 policies, at each institution. Following a pre-written standard script, confederates (trained
25
26 actors with healthcare backgrounds) will serve as a respiratory technician and nurse to be
27
28 directed by the participant, but they will not provide tips or guidance in terms of how to manage
29
30 the crisis. Two raters who have not worked with the participants, blinded to the study
31
32 hypotheses and test phase will evaluate the participant's performance using validated assessment
33
34 tools stated below.
35
36
37
38

39 40 *Debrief*

41
42 All facilitators will be experienced in debrief and CRM training. Despite this, the
43
44 facilitators will be trained on the outcome measures and will have the opportunity to debrief
45
46 the participants in the pilot scenarios prior to the recruitment of study participants. Debrief
47
48 will be led using the standardised ACLS algorithms and non-technical skills measured by
49
50 the outcome assessment tools.
51
52

53 54 *Performance Measures:*

1
2
3 The Ottawa Global Rating Scale (GRS) is a tool that has shown validity and reliability
4 evidence for measuring non-technical CRM skills.[23] It assesses each of the following
5 categories on a 7-point anchored scale: situational awareness, leadership, problem solving,
6 communication, resource utilization and overall performance.
7
8
9
10

11
12 A simple checklist that has been shown to be a reliable tool for PEA arrest published
13 by the Heart and Stroke Foundation will be used to assess for adherence to ACLS algorithm
14 (technical skills) in addition to the quality of cardiopulmonary resuscitation.[24] Within each
15 category, the participant gets a dichotomous option (“yes” or ‘no’) for each item required and
16 the final score will be determined by tallying up the “yes” scores.
17
18
19
20
21
22
23

24 25 26 *Outcome measures:*

27
28 We will assess the relationship of biological and chronological age with:
29

- 30 • CRM skills (Primary Outcome), as measured by the total Ottawa GRS[23] score and the
31 Heart and Stroke ACLS checklist for PEA.[24]
32
- 33 • Learning from high-fidelity simulation education (Secondary Outcome), measured by
34 change in performance *from pre-test, immediate post-test, and retention post-test* using
35 the Ottawa GRS scale[23] and the ACLS checklist for PEA.[24]
36
37
38
39
40
41
42
43

44 45 *Statistical Analysis:*

46
47 Descriptive statistics will be calculated for all variables of interest. Continuous measures
48 such as age will be summarized using means and standard deviations whereas categorical
49 measures will be summarized using counts and percentages.
50
51
52
53
54
55
56
57

1
2
3 To test the first hypothesis, the association between CRM skills and age measured using
4 the Ottawa GRS and ACLS checklist, we will use a Pearson correlation (or Spearman correlation
5 for non-normal data). We will then conduct a multivariable linear regression model analysis
6 including demographic variables of interest (i.e. past simulation experience, previous ACLS
7 management) and time of retention test (i.e., between 3-6 months following initial post-test) as
8 predictor variables. This model will also adjust for the correlation among observations taken
9 from the same site.
10
11
12
13
14
15
16
17
18

19 The secondary outcome of change in the Ottawa GRS and ACLS checklist score over
20 time will be analyzed using a repeated measures analysis of variance (ANOVA), adjusting for
21 the correlation among observations from the same participant. This analysis will be followed by
22 specific pairwise comparisons: 1- pre-test (scenario 1) compared to immediate post-test (scenario
23 2), and 2- immediate post-test (scenario 2) compared to retention post-test (scenario 3).
24
25
26
27
28
29
30
31
32

33 *Sample Size Estimate:*

34
35 Our primary analysis looks at the relationship between age and CRM skills. A sample of
36 60 will provide 80% power at alpha of 0.05 to detect a correlation of 0.72 or greater (a high
37 correlation) compared to a null hypothesis value of 0.5 (a moderate correlation). The sample size
38 calculation was carried out using PASS Version 12 (Hintze, J. (2014). NCSS, LLC. Kaysville,
39 Utah).
40
41
42
43
44
45
46
47
48

49 *Patient Involvement:*

1
2
3 Patients were not involved in the development of the research question and outcome
4
5 measures. Study participants are physician, therefore patients were not approached for
6
7 participation.
8
9

10 11 12 **Ethics and Dissemination** 13

14 This study will explore the relationship between ageing with CRM performance and
15 learning in a simulated clinical setting. As such, the results will be a critical first step in
16
17 informing continuing professional development practices and be the foundation for future studies
18
19 investigating this medical population. Furthermore, no matter the outcome, the results of this
20
21 study will be part of the discussion in helping shape not only national policy regarding practice
22
23 assessment, but also help guide continuing professional development for ageing physicians.
24
25

26 This study aims to investigate whether ageing is correlated with baseline CRM skills in
27
28 ACPs and determine whether ageing influences the acquisition and retention of CRM skills from
29
30 theatre-based simulation and debriefing. If ageing does have an impact on CRM skills in
31
32 physicians, then methods can be implemented aimed at assessing and intervening through
33
34 continuing professional development earlier in a physician's career. Hopefully, this can prevent
35
36 potential negative patient outcomes. One such method could be through the use of simulation,
37
38 but this study will first delineate whether this method of instruction needs to be modified for
39
40 older more experienced clinicians. If they do not learn the same way as residents, and we are
41
42 delivering instruction based on research conducted with junior learners, then this may be
43
44 ineffective for older physicians. This study will help clarify this uncertainty.
45
46
47
48
49
50

51 The main challenge of this study is recruiting and scheduling physicians. Financial
52
53 compensation has been identified as a barrier for staff participation in simulation sessions.[25]
54
55
56
57

1
2
3 To mitigate this, we include continuing professional development section 3 credits for all
4 participants in order to facilitate recruitment, allowing participants to track and document their
5 skills, knowledge and experience that is gained formally and informally as it is mandatory for all
6 practicing physicians complete a required number of credits to maintain their status with the
7 Royal College of Physicians and Surgeons of Canada. There also is potential for an unintentional
8 recruitment bias since ageing physicians likely did not train with mannequin-based simulation.
9
10 To account for this, investigators will present at grand rounds with each acute care department to
11 emphasize the implications of this study. Another challenge might be the concept of biological
12 age vs. chronological age. This study will be using both chronological and biological age to
13 mitigate this potential confounder.
14
15
16
17
18
19
20
21
22
23
24
25

26 Findings will be presented at local and national meetings (e.g., Canadian
27 Anesthesiologists' Society Annual Meeting) and we plan to publish our study in a peer-reviewed
28 journal as an open access article. Lastly, we intend to discuss findings at national specialty
29 societies, interested provincial Colleges of Medicine and the Royal College of Physicians and
30 Surgeons, with the goal of developing and implementing appropriate continuing education
31 strategies for ACPs.
32
33
34
35
36
37
38
39

40 In conclusion, the results from this study will fill in the gap in the literature on whether
41 physicians' age influences baseline CRM performance and also learning from simulation. The
42 results will be a critical first step in helping shape and develop continuing education tailored to
43 physicians' age.
44
45
46
47
48
49
50
51
52
53
54
55
56
57
58
59
60

1
2
3 **List of Abbreviations**
4

5 **ACLS**= Advance Cardiac Life Support
6

7 **ACPs**= acute care physicians
8

9
10 **CRM** = crisis resource management
11

12 **GRS**= Global Rating Scale
13

14 **PEA**= pulseless electrical activity
15
16
17
18
19
20
21
22
23
24
25
26
27
28
29
30
31
32
33
34
35
36
37
38
39
40
41
42
43
44
45
46
47
48
49
50
51
52
53
54
55
56
57
58
59
60

For peer review only

Acknowledgements

We would like to thank and acknowledge: Current members of the Perioperative Anesthesia Clinical Trials Group (Eric Jacobsohn (Chair) University of Manitoba; Scott Beattie, University of Toronto; André Denault, Université de Montréal; Ron George, Dalhousie University; Hilary Grocott, University of Manitoba; Richard Hall, Dalhousie University; Heather McDonald, University of Manitoba; Daniel I. McIsaac, University of Ottawa; C. David Mazer, University of Toronto; Manoj Lalu, University of Ottawa; Sonia Sampson, Memorial University; Alexis Turgeon, Université Laval; Homer Yang, University of Ottawa); Dr. Alex Kiss from Sunnybrook Research Institute for his insights on data analysis; Susan DeSousa for her assistance at the Sunnybrook Simulation Centre; Kathrina Flores and Jessica Pacquing for their role as confederates at Sunnybrook Health Sciences Centre.

Author's contributions

FA and SB contributed to secure research funding and conceived and designed all aspects of the study protocol. AB, VL, JT, DP, CF, NK-G, YG, AK, PC, SA and SL contributed to the study design. FA, SB, and SA drafted and finalized the manuscript. All authors have approved the final manuscript. This study has been endorsed by the Perioperative Anesthesia Clinical Trials Group.

For peer review only

Funding

At the time of submission, this study has received two grants from (1) Phil R. Manning Research Award; Continuing Medical Education, the Society for Academic Continuing Medical Education; and (2) Department of Innovation in Medical Education, Education Healthcare Grant, University of Ottawa. Dr. Boet was supported by The Ottawa Hospital Anesthesia Alternate Funds Association. Funders have no role in the study design, data collection, management, analysis or interpretation of the data.

1
2
3
4
5
6
7
8
9
10
11
12
13
14
15
16
17
18
19
20
21
22
23
24
25
26
27
28
29
30
31
32
33
34
35
36
37
38
39
40
41
42
43
44
45
46
47
48
49
50
51
52
53
54
55
56
57
58
59
60

Competing Interests

The authors have no conflicts of interest to declare.

For peer review only

Table 1: Study visits

	Visit -1	Visit 0	Visit 1	Visit 2	Visit 3
ENROLMENT:					
Eligibility screen	X				
Informed consent	X				
Allocation		X			
INTERVENTIONS:					
Demographic questionnaire			X		
Life expectancy questionnaire			X		
Orientation and non-crisis scenario			X		
Pre-test			X		
Debrief *			X	X	
Immediate post-test			X		
Retention post-test				X	
ASSESSMENTS:					
Ottawa global rating scale **					X
Advance cardiac life support checklist **					X

* to be performed by experienced debriefers **to be performed by two independent raters

References

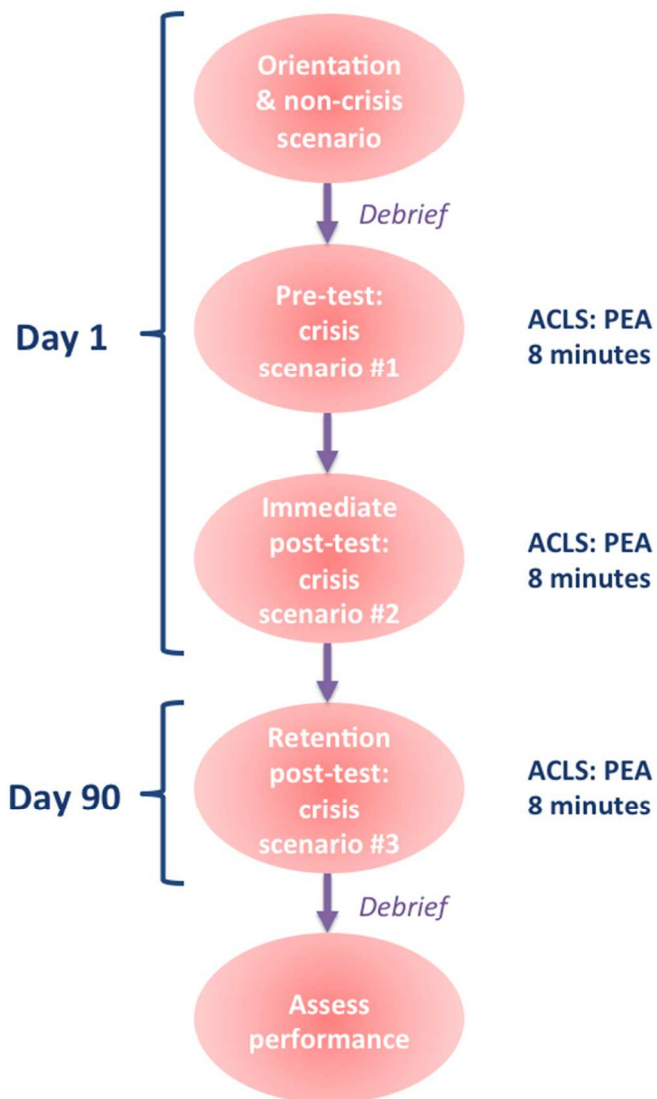
1. Information ClfH: Geographic Distribution of Physicians in Canada. 2005.
2. Colleges AoAM: Center for Workforce Studies: 2012 Physician Specialty Data Book. 2012.
3. Katz JD: Issues of concern for the aging anesthesiologist. *Anesthesia & Analgesia* 2001, 92:1487-1492.
4. Baird M, Daugherty L, Kumar KB, Arifkhanova A: The Anesthesiologist Workforce in 2013. 2014.
5. Durning SJ, Artino AR, Holmboe E, Beckman TJ, van der Vleuten C, Schuwirth L: Aging and cognitive performance: challenges and implications for physicians practicing in the 21st century. *Journal of Continuing Education in the Health Professions* 2010, 30:153-160.
6. Trunkey DD, Botney R: Assessing competency: a tale of two professions. *Journal of the American College of Surgeons* 2001, 192:385-395.
7. Turnbull J, Carbotte R, Hanna E, Norman G, Cunningham J, Ferguson B, Kaigas T: Cognitive difficulty in physicians. *Academic Medicine* 2000, 75:177-181.
8. Tessler MJ, Shrier I, Steele RJ: Association between anesthesiologist age and litigation. *Survey of Anesthesiology* 2012, 56:263-264.
9. Eva KW: The aging physician: changes in cognitive processing and their impact on medical practice. *Academic Medicine* 2002, 77:S1-S6.
10. Baxter AD, Boet S, Reid D, Skidmore G: The aging anesthesiologist: a narrative review and suggested strategies. *Canadian Journal of Anesthesia/Journal canadien d'anesthésie* 2014, 61:865-875.
11. Norman G, Young M, Brooks L: Non-analytical models of clinical reasoning: The role of experience. *Medical education* 2007, 41:1140-1145.
12. Alam A, Khan J, Liu J, Klemensberg J, Griesman J, Bell CM: Characteristics and rates of disciplinary findings amongst anesthesiologists by professional colleges in Canada. *Canadian Journal of Anesthesia/Journal canadien d'anesthésie* 2013, 60:1013-1019.
13. Hedden T, Gabrieli JD: Insights into the ageing mind: a view from cognitive neuroscience. *Nature reviews neuroscience* 2004, 5:87-96.
14. Duclos A, Peix J-L, Colin C, Kraimps J-L, Menegaux F, Pattou F, Sebag F, Touzet S, Bourdy S, Voirin N: Influence of experience on performance of individual surgeons in thyroid surgery: prospective cross sectional multicentre study. *BMJ* 2012, 344:d8041.
15. Khaliq AA, Dimassi H, Huang C-Y, Narine L, Smego RA: Disciplinary action against physicians: who is likely to get disciplined? *The American journal of medicine* 2005, 118:773-777.
16. Custers EJ, Ten Cate OT: Very long-term retention of basic science knowledge in doctors after graduation. *Med Educ* 2011, 45:422-430
17. Boet S, Bould MD, Fung L, Qosa H, Perrier L, Tavares W, Reeves S, Tricco AC: Transfer of learning and patient outcome in simulated crisis resource management: a systematic review. *Canadian Journal of Anesthesia/Journal canadien d'anesthésie* 2014, 61:571-582.
18. Marinopoulos SS, Dorman T, Ratanawongsa N, Wilson LM, Ashar BH, Magaziner JL, Miller RG, Thomas PA, Prokopowicz GP, Qayyum R: Effectiveness of continuing medical education. 2007.
19. Khanduja PK, Bould MD, Naik VN, Hladkovicz E, Boet S: The role of simulation in continuing medical education for acute care physicians: a systematic review*. *Critical care medicine* 2015, 43:186-193.
20. Steadman RH: Improving on reality: can simulation facilitate practice change? *Anesthesiology* 2010, 112:775-776.
21. Chan A-W, Tetzlaff JM, Altman DG, Laupacis A, Gøtzsche PC, Krleža-Jerić K, Hróbjartsson A, Mann H, Dickersin K, Berlin JA: SPIRIT 2013 statement: defining standard protocol items for clinical trials. *Ann Intern Med* 2013, 158:200-207.

- 1
 - 2
 - 3
 - 4
 - 5
 - 6
 - 7
 - 8
 - 9
 - 10
 - 11
 - 12
 - 13
 - 14
 - 15
 - 16
 - 17
 - 18
 - 19
 - 20
 - 21
 - 22
 - 23
 - 24
 - 25
 - 26
 - 27
 - 28
 - 29
 - 30
 - 31
 - 32
 - 33
 - 34
 - 35
 - 36
 - 37
 - 38
 - 39
 - 40
 - 41
 - 42
 - 43
 - 44
 - 45
 - 46
 - 47
 - 48
 - 49
 - 50
 - 51
 - 52
 - 53
 - 54
 - 55
 - 56
 - 57
 - 58
 - 59
 - 60
22. Roizen MF: RealAge: Are you as young as you can be?: Harper Collins; 2010.
23. Kim J, Neilipovitz D, Cardinal P, Chiu M, Clinch J: A pilot study using high-fidelity simulation to formally evaluate performance in the resuscitation of critically ill patients: The University of Ottawa Critical Care Medicine, High-Fidelity Simulation, and Crisis Resource Management I Study. *Critical care medicine* 2006, 34:2167-2174.
24. McEvoy MD, Smalley JC, Nietert PJ, Field LC, Furse CM, Blenko JW, Cobb BG, Walters JL, Pendarvis A, Dalal NS: Validation of a detailed scoring checklist for use during advanced cardiac life support certification. *Simulation in healthcare: journal of the Society for Simulation in Healthcare* 2012, 7:222.
25. Savoldelli GL, Naik VN, Hamstra SJ, Morgan PJ: Barriers to use of simulation-based education. *Canadian Journal of Anesthesia* 2005, 52:944-950.

1
2
3
4
5
6
7
8
9
10
11
12
13
14
15
16
17
18
19
20
21
22
23
24
25
26
27
28
29
30
31
32
33
34
35
36
37
38
39
40
41
42
43
44
45
46
47
48
49
50
51
52
53
54
55
56
57
58
59
60

Figure 1: An overview of study visits for participants consented and randomized to this study.

For peer review only



An overview of study visits for participants consented and randomized to this study.

60x81mm (300 x 300 DPI)



SPIRIT 2013 Checklist: Recommended items to address in a clinical trial protocol and related documents*

Section/item	Item No	Description	Addressed on page number
Administrative information			
Title	1	Descriptive title identifying the study design, population, interventions, and, if applicable, trial acronym	___1___
Trial registration	2a	Trial identifier and registry name. If not yet registered, name of intended registry	___3___
	2b	All items from the World Health Organization Trial Registration Data Set	See trial registration
Protocol version	3	Date and version identifier	See trial registration___
Funding	4	Sources and types of financial, material, and other support	___15___
Roles and responsibilities	5a	Names, affiliations, and roles of protocol contributors	___1 and 15___
	5b	Name and contact information for the trial sponsor	___N/A___
	5c	Role of study sponsor and funders, if any, in study design; collection, management, analysis, and interpretation of data; writing of the report; and the decision to submit the report for publication, including whether they will have ultimate authority over any of these activities	___15___
	5d	Composition, roles, and responsibilities of the coordinating centre, steering committee, endpoint adjudication committee, data management team, and other individuals or groups overseeing the trial, if applicable (see Item 21a for data monitoring committee)	___7-10___

Introduction

Background and rationale	6a	Description of research question and justification for undertaking the trial, including summary of relevant studies (published and unpublished) examining benefits and harms for each intervention	4-6
	6b	Explanation for choice of comparators	5
Objectives	7	Specific objectives or hypotheses	5
Trial design	8	Description of trial design including type of trial (eg, parallel group, crossover, factorial, single group), allocation ratio, and framework (eg, superiority, equivalence, noninferiority, exploratory)	6

Methods: Participants, interventions, and outcomes

Study setting	9	Description of study settings (eg, community clinic, academic hospital) and list of countries where data will be collected. Reference to where list of study sites can be obtained	7
Eligibility criteria	10	Inclusion and exclusion criteria for participants. If applicable, eligibility criteria for study centres and individuals who will perform the interventions (eg, surgeons, psychotherapists)	8
Interventions	11a	Interventions for each group with sufficient detail to allow replication, including how and when they will be administered	8-10
	11b	Criteria for discontinuing or modifying allocated interventions for a given trial participant (eg, drug dose change in response to harms, participant request, or improving/worsening disease)	N/A
	11c	Strategies to improve adherence to intervention protocols, and any procedures for monitoring adherence (eg, drug tablet return, laboratory tests)	N/A
	11d	Relevant concomitant care and interventions that are permitted or prohibited during the trial	N/A
Outcomes	12	Primary, secondary, and other outcomes, including the specific measurement variable (eg, systolic blood pressure), analysis metric (eg, change from baseline, final value, time to event), method of aggregation (eg, median, proportion), and time point for each outcome. Explanation of the clinical relevance of chosen efficacy and harm outcomes is strongly recommended	10
Participant timeline	13	Time schedule of enrolment, interventions (including any run-ins and washouts), assessments, and visits for participants. A schematic diagram is highly recommended (see Figure)	19

1
2
3
4
5
6
7
8
9
10
11
12
13
14
15
16
17
18
19
20
21
22
23
24
25
26
27
28
29
30
31
32
33
34
35
36
37
38
39
40
41
42
43
44
45
46
47

Sample size 14 Estimated number of participants needed to achieve study objectives and how it was determined, including clinical and statistical assumptions supporting any sample size calculations _____11_____

Recruitment 15 Strategies for achieving adequate participant enrolment to reach target sample size _____11_____

Methods: Assignment of interventions (for controlled trials)

Allocation:

Sequence generation 16a Method of generating the allocation sequence (eg, computer-generated random numbers), and list of any factors for stratification. To reduce predictability of a random sequence, details of any planned restriction (eg, blocking) should be provided in a separate document that is unavailable to those who enrol participants or assign interventions _____8_____

Allocation concealment mechanism 16b Mechanism of implementing the allocation sequence (eg, central telephone; sequentially numbered, opaque, sealed envelopes), describing any steps to conceal the sequence until interventions are assigned _____N/A_____

Implementation 16c Who will generate the allocation sequence, who will enrol participants, and who will assign participants to interventions _____8_____

Blinding (masking) 17a Who will be blinded after assignment to interventions (eg, trial participants, care providers, outcome assessors, data analysts), and how _____8_____

17b If blinded, circumstances under which unblinding is permissible, and procedure for revealing a participant's allocated intervention during the trial _____8_____

Methods: Data collection, management, and analysis

Data collection methods 18a Plans for assessment and collection of outcome, baseline, and other trial data, including any related processes to promote data quality (eg, duplicate measurements, training of assessors) and a description of study instruments (eg, questionnaires, laboratory tests) along with their reliability and validity, if known. Reference to where data collection forms can be found, if not in the protocol _____8-10_____

18b Plans to promote participant retention and complete follow-up, including list of any outcome data to be collected for participants who discontinue or deviate from intervention protocols _____N/A_____

1				
2				
3	Data management	19	Plans for data entry, coding, security, and storage, including any related processes to promote data quality (eg, double data entry; range checks for data values). Reference to where details of data management procedures can be found, if not in the protocol	___9-11___
4				
5				
6				
7	Statistical methods	20a	Statistical methods for analysing primary and secondary outcomes. Reference to where other details of the statistical analysis plan can be found, if not in the protocol	___10-11___
8				
9				
10		20b	Methods for any additional analyses (eg, subgroup and adjusted analyses)	___10-11___
11				
12		20c	Definition of analysis population relating to protocol non-adherence (eg, as randomised analysis), and any statistical methods to handle missing data (eg, multiple imputation)	___10___
13				
14				

15 **Methods: Monitoring**

16				
17	Data monitoring	21a	Composition of data monitoring committee (DMC); summary of its role and reporting structure; statement of whether it is independent from the sponsor and competing interests; and reference to where further details about its charter can be found, if not in the protocol. Alternatively, an explanation of why a DMC is not needed	___N/A___
18				
19				
20				
21				
22		21b	Description of any interim analyses and stopping guidelines, including who will have access to these interim results and make the final decision to terminate the trial	___N/A___
23				
24				
25	Harms	22	Plans for collecting, assessing, reporting, and managing solicited and spontaneously reported adverse events and other unintended effects of trial interventions or trial conduct	___N/A___
26				
27				
28	Auditing	23	Frequency and procedures for auditing trial conduct, if any, and whether the process will be independent from investigators and the sponsor	___N/A___
29				
30				
31				

32 **Ethics and dissemination**

33				
34	Research ethics approval	24	Plans for seeking research ethics committee/institutional review board (REC/IRB) approval	___7-8___
35				
36				
37	Protocol amendments	25	Plans for communicating important protocol modifications (eg, changes to eligibility criteria, outcomes, analyses) to relevant parties (eg, investigators, REC/IRBs, trial participants, trial registries, journals, regulators)	___7-8___
38				
39				
40				
41				
42				
43				
44				
45				
46				
47				

1
2
3
4
5
6
7
8
9
10
11
12
13
14
15
16
17
18
19
20
21
22
23
24
25
26
27
28
29
30
31
32
33
34
35
36
37
38
39
40
41
42
43
44
45
46
47

Consent or assent	26a	Who will obtain informed consent or assent from potential trial participants or authorised surrogates, and how (see Item 32)	7-8
	26b	Additional consent provisions for collection and use of participant data and biological specimens in ancillary studies, if applicable	N/A
Confidentiality	27	How personal information about potential and enrolled participants will be collected, shared, and maintained in order to protect confidentiality before, during, and after the trial	8-9
Declaration of interests	28	Financial and other competing interests for principal investigators for the overall trial and each study site	14
Access to data	29	Statement of who will have access to the final trial dataset, and disclosure of contractual agreements that limit such access for investigators	14
Ancillary and post-trial care	30	Provisions, if any, for ancillary and post-trial care, and for compensation to those who suffer harm from trial participation	N/A
Dissemination policy	31a	Plans for investigators and sponsor to communicate trial results to participants, healthcare professionals, the public, and other relevant groups (eg, via publication, reporting in results databases, or other data sharing arrangements), including any publication restrictions	12-13
	31b	Authorship eligibility guidelines and any intended use of professional writers	15
	31c	Plans, if any, for granting public access to the full protocol, participant-level dataset, and statistical code	N/A
Appendices			
Informed consent materials	32	Model consent form and other related documentation given to participants and authorised surrogates	21-31
Biological specimens	33	Plans for collection, laboratory evaluation, and storage of biological specimens for genetic or molecular analysis in the current trial and for future use in ancillary studies, if applicable	N/A

*It is strongly recommended that this checklist be read in conjunction with the SPIRIT 2013 Explanation & Elaboration for important clarification on the items. Amendments to the protocol should be tracked and dated. The SPIRIT checklist is copyrighted by the SPIRIT Group under the Creative Commons "[Attribution-NonCommercial-NoDerivs 3.0 Unported](https://creativecommons.org/licenses/by-nc-nd/3.0/)" license.