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A Multicenter, Randomized Trial of Preterm Infants receiving Caffeine and Less Invasive Surfactant Administration Compared to Caffeine and Early Continuous Positive Airway Pressure (CaLI Trial)

Journal:	<i>BMJ Open</i>
Manuscript ID	bmjopen-2020-038343
Article Type:	Protocol
Date Submitted by the Author:	16-Mar-2020
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Keywords:	Neonatal intensive & critical care < INTENSIVE & CRITICAL CARE, NEONATOLOGY, RESPIRATORY MEDICINE (see Thoracic Medicine)

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3 **A Multicenter, Randomized Trial of Preterm Infants receiving Caffeine and**
4 **Less Invasive Surfactant Administration Compared to Caffeine and Early**
5
6 **Continuous Positive Airway Pressure (CaLI Trial)**
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ABSTRACT

Introduction: Delivery room resuscitation of the very preterm infant has evolved dramatically over the past decades. Optimizing the care of these newborns now involves a variation of early continuous positive airway pressure (CPAP) and the avoidance of mechanical ventilation. A recent meta-analysis of non-invasive ventilation strategies demonstrated that Less invasive surfactant administration (LISA) had the lowest odd ratio (OR, 0.49; 95% CI 0.3-0.79) for the development of the composite outcome of death or bronchopulmonary dysplasia (BPD) amongst non-invasive strategies compared to mechanical ventilation. Despite these results and studies showing it decreased the need for mechanical ventilation compared to CPAP, the use of the LISA method is still not widely accepted⁴. We will conduct a randomized, multicenter trial to test whether infants that receive caffeine and surfactant via the LISA method compared to early CPAP and positive pressure ventilation have a decreased need for mechanical ventilation in the first 72 hours of life.

Methods and Analysis:

After 5 minutes of life, consented infants that are assessed by a provider as clinically stable (i.e. HR >100 bpm) and spontaneously breathing on CPAP will be randomized by computer generated randomization cards placed in opaque envelopes. For infants not consented prior to birth, after 5 minutes of life and before 2 hours of life, postnatal consent may be obtained for any eligible infant admitted to the NICU and must be randomized and receive treatment prior to their two hours of age. Randomization will be stratified by gestational age (24-26+6 weeks and 27+0-29+6 weeks) and labeled as such on each envelope. Multiples will be randomized to the same treatment group for ease of consent and family considerations.

ETHICS AND DISSEMINATION:

IRB approval has been obtained by the Sharp Healthcare Ethics Board. The study will take over 5 years to conduct. This will include (3 months of startup, 2.5 years to enrollment subject goal. At 24 months CGA,

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3 a neurodevelopmental outcome assessment using the standardized neurological and developmental
4 [Bayley Scales of Infant Development (BSID), 4thed] will be performed and finally 3 months for data
5 analysis and publication of results).
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9 Results should be available by 2025. We will track and follow several exploratory outcomes and results
10 presented at a major meeting and published in a major neonatal journal. This study is registered on
11
12 www.ClinicalTrials.gov, number NCT#04209946.
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14

15 16 17 18 **ARTICLE SUMMARY: STRENGTHS AND LIMITATIONS OF THIS STUDY:**

- 19
20 • This is the first US study of LISA in extremely preterm infants
- 21
22 • This will be the first LISA trial to prescribe and mandate caffeine use with the LISA
23 procedure
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- 26
27 • Limitations include a small sample size and limited neonatal centers.
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30 31 32 **INTRODUCTION:**

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34 Delivery room resuscitation of the very preterm infant has evolved dramatically over the past decades.
35
36 Optimizing the care of these newborns now involves a variation of early continuous positive airway
37 pressure (CPAP) and the avoidance of mechanical ventilation. A recent meta-analysis of non-invasive
38 ventilation strategies demonstrated that Less invasive surfactant administration (LISA) had the lowest odd
39 ratio (OR, 0.49; 95% CI 0.3-0.79) for the development of the composite outcome of death or
40 bronchopulmonary dysplasia (BPD) amongst non-invasive strategies compared to mechanical ventilation.
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46 ¹ Despite these results and studies showing it decreased the need for mechanical ventilation compared to
47 CPAP,^{2,3} the use of the LISA method is still not widely accepted⁴. We will conduct a randomized,
48 multicenter trial to test whether infants that receive surfactant via the LISA method compared to early
49 CPAP and positive pressure ventilation have a decreased need for mechanical ventilation in the first 72
50 hours of life. We will track and follow several exploratory outcomes and results presented at a major
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meeting and published in a major neonatal journal. This study is registered on www.ClinicalTrials.gov, number NCT#04209946.

The study will take over 5 years to conduct. This will include (3 months of startup, 2.5 years to enrollment subject goal. At 24 months CGA, a neurodevelopmental outcome assessment using the standardized neurological and developmental [Bayley Scales of Infant Development (BSID), 4thed] will be performed and finally 3 months for data analysis and publication of results). This will be the first US led multicenter trial on Less Invasive Surfactant Administration in infants born under 30 weeks gestational age.

SPECIFIC AIMS:

To determine whether prophylactic administration of surfactant by the LISA method reduces the need for mechanical ventilation in the first 72 hours of life when compared to early CPAP alone.

Hypothesis 1:

Infants in the LISA group will have decreased need for mechanical ventilation compared to infants in the early CPAP group.

Primary Outcome:

Frequency of subjects requiring endotracheal intubation between the two groups (LISA vs CPAP) in the first 72 hours of life

Secondary Outcomes:

Duration of mechanical ventilation and/or CPAP

Requirement of supplemental oxygen at 36 weeks corrected age

Grade III and IV intraventricular hemorrhage

Neurodevelopment outcome at 24 months corrected gestational age

Need for repeat surfactant dosing

Incidence of intubation with NIMV as primary mode of non-invasive ventilation

Incidence of intubation with CPAP as primary mode of non-invasive ventilation

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3 Exploratory outcomes:
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5 Laryngoscopy attempt with the LISA procedure
6

7 Laryngoscopy attempt with the endotracheal intubation
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11 Study Timeframe: From birth through 2 years of age.
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16 Cost to Subjects: None
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19
20 The secondary objective for this study is to assess neurodevelopmental outcome at 24 months corrected
21 gestational age (CGA). The assessment tools to measure neurodevelopmental outcome will be the Bayley
22 Scales of Infant and Toddler Development 4th ed. (BSID-4), a standardized neurologic exam, and
23
24 neurosensory assessment of vision and hearing as reported by parents including:
25
26
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- 28
- 29 • Neurodevelopmental Impairment (Mild/Moderate-Severe)
 - 30 • Gross motor function: assessed by the Gross Motor Function Classification System
 - 31 • Cerebral Palsy (mild, moderate, severe)
 - 32 • Differences in 2 year developmental outcomes as assessed by Cognitive, Language & Motor
- 33
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36 Composite scores of Bayley Scales of Infant Development in infants born at 24-29+6 weeks
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41 **METHODS AND ANALYSIS:**
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43 The Caffeine and Less Invasive Surfactant Administration (CaLI) trial is a multicenter, randomized study
44 done at 2 neonatal intensive care units with Level III designations in California, USA and is expected to
45
46 be conducted between January 2020 and January 2025. Consented premature infants with gestational age
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48 from 24 weeks to 29 weeks plus 6 days will be enrolled within 2 hours of life. For infants not consented
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50 prior to birth, postnatal consent may be obtained after 5 minutes of life and before 2 hours of life for any
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3 eligible infant admitted to the NICU. Subjects must be randomized and receive treatment prior to two
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5 hours of life.

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7 **Inclusion Criteria:**

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- 10 • Premature infants born at 24-29+6 weeks gestation
 - 11 • Informed consent obtained (antenatal/postnatal)
 - 12 • Infant is spontaneously breathing and maintains normal heart rate (HR>100 Bpm)
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17 **Exclusion Criteria:**

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- 20 • Declined consent
 - 21 • Infants with known congenital anomalies
 - 22 • Requiring intubation prior to randomization
- 23
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26 All infants found to have anomalies post-randomization will be analyzed by intent to treat principle.

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29 **Randomization:**

30 Only spontaneously breathing infants maintaining normal heart rate and saturations will be included.

31
32 After 5 minutes of life, consented infants that are assessed by a provider as clinically stable (i.e. HR >100
33 bpm) and spontaneously breathing on CPAP will be randomized by computer generated randomization
34 cards placed in opaque envelopes. For infants not consented prior to birth, after 5 minutes of life and
35 before 2 hours of life, postnatal consent may be obtained for any eligible infant admitted to the NICU and
36 must be randomized and receive treatment prior to their two hours of age. When the neonatal provider
37 assesses the infant to be stable, a member of the research or neonatal team will pull a randomization card
38 according to the infant's corrected gestational age. Once the treatment group is identified (LISA or
39 CPAP), therapy will immediately commence. Randomization is stratified by gestational age (24-26+6
40 weeks and 27+0-29+6 weeks) and is labeled as such on each envelope. Multiples will be randomized to
41 the same treatment group for ease of consent and family considerations.

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Blinding:

The capacity to be blinded for this study is not feasible, since the providers caring for the patient are providing the intervention.

Study Design:

One hundred and fifty (150) premature infants born at GA of 24-29+6 weeks CGA will be enrolled at two centers. Infants will be allowed to transition and stabilize on CPAP (at 5-6 cm of water) and/or mask positive pressure ventilation (starting at PIP 20 and PEEP 5) in the delivery room. Once they are breathing spontaneously, have a stable heart rate (i.e. >100 Bpm), and assessed to be clinically stable by a neonatal provider, they will be randomized to either the LISA group or CPAP group.

Randomized infants in both groups will only be intubated if they meet strict failure criteria (see study design) to avoid bias in an un-blinded study. Any repeat dosing for surfactant will be based on clinical indication at the physicians' discretion by the conventional endotracheal approach. Both units routinely give caffeine immediately after birth.

LISA Group:

For infants randomized to LISA, we will have an orogastric tube placed into the stomach prior to laryngoscopy and the contents aspirated before and after the procedure to document any esophageal surfactant administration. Then a thin catheter (16G angiocatheter) will be measured and the depth of insertion will be marked with intubation tape. The thin catheter will then be placed in the trachea under direct visualization with a laryngoscope by a neonatal practitioner. After the catheter is placed, the laryngoscope will be removed and the infant's mouth will be closed. Surfactant (Curosurf 2.5 mL/kg, based on estimated fetal weight) will be slowly administered over 1-2 minutes (approximately in 3 aliquots) assuring synchronized instillation with infant's breathing pattern while on nasal CPAP. After instillation, the catheter will be immediately removed and nCPAP will continue. If apnea occurs during or

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3 after the procedure, positive pressure ventilation will be given. All sites have agreed on using senior level
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5 physicians or practitioners that have prior experience with the LISA method.
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8 9 **CPAP Group:**

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11 Infants randomized to early CPAP will be managed according to unit practice for preterm infants on
12
13 CPAP. Premature infants may require CPAP immediately after delivery if they elicit signs of labored
14
15 breathing or unable to maintain oxygen saturations within neonatal resuscitation goals despite 100%
16
17 oxygen supplementation. If randomized to the CPAP group, infant will continue on CPAP unless infant
18
19 meets failure criteria and requires intubation.
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21

22 23 **Caffeine:**

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25 If randomized to LISA, caffeine will be given prior to the LISA procedure. In contrast, if randomized to
26
27 CPAP, caffeine will be given soon after birth. If infants in the CPAP group meet intubation criteria, and
28
29 the loading dose of caffeine has not been administered, to avoid any delay in intubation, Caffeine will be
30
31 given no later than thirty minutes of intubation.
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35 Randomized infants in both groups will only be intubated if they meet strict failure criteria (see study
36
37 design) to avoid bias in an un-blinded study. Any repeat dosing for surfactant will be based on clinical
38
39 indication at the physician discretion by the conventional endotracheal approach. Both units routinely
40
41 give caffeine immediately after birth.
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44 45 **Intubation criteria once randomized:**

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47 As an un-blinded trial it is critical that both groups are standardized to avoid bias towards one arm for
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49 mechanical ventilation/treatment failure. Therefore, strict delivery room/ NICU criteria will be used.
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3 **Delivery room** - Criteria for intubation will be as specified in the Neonatal Resuscitation Program
4 guidelines ⁶ and will include: **1)** when chest compressions are needed; **2)** ineffective ventilation; **3)**
5 prolonged PPV; or **4)** prolonged hypoxia. Infants intubated before randomization will be excluded to
6 avoid any early selection bias.
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13 **NICU** - Criteria for intubation/treatment failure will be recent guidelines for the management of RDS⁷,
14 including: 1) $\text{FiO}_2 > 0.40$ required to maintain $\text{Sat} > 90\%$ for 2 hour after randomization; 2) a pH of 7.15 or
15 less OR a $\text{paCO}_2 > 65$ mmHg on any (2) blood gases (arterial/capillary/or venous) at least 2 hours after
16 randomization in the first 72 hours of life. To avoid the bias of withheld ventilation since the study is not
17 masked, infants with these criteria will be regarded as treatment failures.
18
19

20 For pragmatic purpose sites will be able to use their standard approach for non-invasive ventilation
21 (NCPAP at SMB and NIMV at LLU) as they have agreed to use each mode equally regardless of
22 randomization. Subsequent analysis will include primary mode of non-invasive ventilation.
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26 **Statistics/Plans for Analysis:**

27 We will describe / compare baseline demographics, clinical outcome variables between the two groups
28 using univariate and appropriate bivariate analysis. We will use generalized linear models (GLM)
29 (stratified by center and adjusting for a priori and posteriori variables) to evaluate clinical outcome
30 variables. Appropriate repeated measures GLM models and correlation analysis will be performed to
31 identify trends and relationships among the various hemodynamic parameters.
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35 **Statistical Analysis plan including sample size and power:**

36 A chart review of the databases at Sharp Mary Birch has shown that approximately 49% of our infants 24-
37 29+6 weeks' gestation were intubated and mechanically ventilated after 5 minutes of life but within the
38 first 72 hours of life. Therefore, a very conservative sample size calculation indicates that in order to detect
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3 a 22% absolute reduction (a reduction from 49% to 27%) we would need at least 150 subjects' enrolled (75
4 subjects in each arm) for an 80% power and a p-value of less than 0.05 for significance.
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8 9 **Data Collection:**

10 Data will be collected and managed using REDCap electronic data capture tools hosted at Sharp Mary
11 Birch Hospital for Women Newborns and managed by the lead site. All collected variables are listed in
12 the CRF forms (see attached). Both Loma Linda University Medical Center and Sharp Mary Birch
13 Hospital for Women & Newborns have extensive experience with REDCap data entry.
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22 **Human Subjects Protections:**

23 The study interventions, Less Invasive Surfactant Administration (LISA) and Continuous Positive Airway
24 Pressure (CPAP), are two different methods that we hope will support our specific aim in reducing
25 mechanical ventilation within the first 72 hours of life for preterm infants. Both groups will receive the
26 same surfactant, however, the LISA group will use a smaller catheter compared to an endotracheal tube to
27 instill it into the trachea. The small catheter would allow infants to breath on their own while receiving
28 surfactant and CPAP by nasal cannula compared to the endotracheal tube method that requires placing the
29 infant on mechanical ventilation. The LISA method is currently used by our group, a number of hospitals
30 in California and Florida but no US trials have been conducted to date. Only infants who are stable after 5
31 minutes of life (breathing on their own with normal oxygen and heart rate levels) would be included.
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44 Prior to any research procedure, consent will be obtained by the primary investigator or a delegated sub-
45 investigator or a research associate. The mother, or legally authorized representative must sign the informed
46 consent document. Mother (or surrogate mother) must sign a HIPAA authorization providing access to her
47 medical records for collection of maternal data. Either mother or father or legal guardian can sign a HIPAA
48 authorization providing access to the child's medical records for data collection purposes. The subject's legally
49 authorized representatives will be given ample time to read the informed consent, ask questions of the research
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3 team, and discuss the study with their family and/or the subject's physician. The informed consent process will
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5 be documented in the electronic medical record and copies of the signed and dated consent will be given to the
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7 subject's representatives, placed in the subject's physical chart, and stored in a locked cabinet in the offices of
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9 the Neonatal Research Institute.
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12 Pregnant women will be identified and screened from the labor and delivery floor or perinatal special care
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14 unit at each site. Parents will be approached and consented prior to delivery. In the delivery room, after the
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16 infant's five minutes of life, the research staff or neonatal delivery team will open the randomization
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18 envelope for the proper GA group. Multiples will be randomized to the same treatment group for ease of
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20 consent and family considerations. There is no crossover allowed between the LISA and CPAP groups,
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22 subjects should receive their randomized treatment. If the physician determines that the infant requires
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24 intubation or is determined to be unstable within five minutes of life, the infant will be intubated and
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26 excluded from the study.
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32 **Patient and public involvement:**

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35 We have collaborated with parents by presenting this study to the Sharp Mary Birch Parent Advisory Board.
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37 We have incorporated their suggestions and they enthusiastically support the study. One of the parents has
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39 agreed to be on the DSMB to monitor the trial for safety.
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45 **Risks:**

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48 Loss of confidentiality: All data will be safeguarded in accordance with the Health Insurance Portability
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50 and Accountability Act (HIPAA) and the principles and practices of strict confidentiality. Data will be
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52 maintained by numerical code rather than personal identifiers and computer-based files will be available
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3 only to persons involved in the study through the use of access privileges and passwords. However, there
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5 is still a potential risk of loss of data and privacy.
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8 As with any study, there may be risks that currently are unforeseeable.
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11 12 13 **Protection against Risk:** 14

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16 Practitioners at all sites have experience with performing LISA or CPAP with endotracheal intubation
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18 within their normal clinical care. Only research team members (with appropriate research training
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20 relevant to protection of human subjects) shall have access to the project's databases.
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26 **DATA AND SAFETY MONITORING PLAN** 27

28 We have chosen an experience and well recognized data safety monitoring board (DSMB) with
29
30 experience with respiratory trials. Drs. Brad Yoder and Wally Carlo have led and participated in a number
31
32 of trials including High-Flow Nasal Cannula, High Frequency Ventilation, and surfactant. In addition, a
33
34 former parent that has participated in research trials Kirsten Norman has agreed to serve on the DSMB.
35
36 The DSMB will: 1) protect all study patients, 2) safeguard the interests of all study patients, 3) monitor
37
38 the overall conduct of the trial, 4) advise the investigators in order to protect the integrity of the trial, and
39
40 5) supervise the conduct and analysis of all interim analyses. To this end, the DSMB will receive regular
41
42 reports from the trial on any injuries or adverse events, any developments that jeopardize the continued
43
44 success of the trial, and data by which to accomplish the evaluation of predetermined early stopping rules.
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46 All SAEs, protocol deviations, non-serious adverse events (AEs), and unanticipated problems (UPs) will
47
48 be reported to the Data Coordinating Center (DCC) and forwarded to the DSMB if indicated (see below);
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50 reports of adverse events and recruitment will be sent monthly; demographics will be included with the
51
52 interim and final safety and efficacy analyses. Interim analyses determined by the DSMB and the project
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3 statistician will be conducted, independently from the trial leadership and staff. The definitions and
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5 reporting process are as follows:
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9 Serious Adverse Events defined as one or more of the following: decompensation during the
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11 administration of surfactant in either arm including the use of epinephrine in the delivery room and chest
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13 compressions, or death prior to discharge.
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16 1. All SAEs will be reported within 72 hours of discovery of event, to the PI and the IRB at the
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18 Sharp Data center.
- 19
20 2. Any Unexpected AE or Serious Deviation will be reported within 7 days of discovery of event to
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22 the Sharp Data Center.
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26 Not Serious Events

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28 Unexpected events that are Not Serious are reported not more than 14 days after the PI first learns of the
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30 event. The DCC will forward all not-serious unexpected events to the DSMB, and PI. All other expected
31
32 outcomes of prematurity, i.e. BPD, IVH grades 1-4, ROP, NEC will be collected in the electronic
33
34 database and reviewed in interim reports, see attached CRF. We have appointed a DSMB to work closely
35
36 with the PI and the IRB. There are no conflicts of interest with these individuals, who are not research
37
38 collaborators of, and are at separate institutions from the investigators at the enrolling sites.
39
40

41 The study will be closely monitored for issues of data quality, study conduct, and adverse events. These
42
43 analyses will be presented to the DSMB. Interim analyses will seek to identify results that are sufficiently
44
45 extreme and precise to offset the goal of obtaining additional data that might lead to more precise, and
46
47 perhaps less exaggerated and more convincing results, as well as information about differences in
48
49 treatment effect by subgroups of patients. Determinations on stopping must reflect ethical considerations
50
51 of the impact of interim results on clinical equipoise as well as considerations on the potential impact (or
52
53 lack of impact) of interim results on clinical practice. The superiority must be tested in the context of this
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3 trial first and then superiority assessed, unless the DSMB is ethically motivated to stop the trial for
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5 superiority.
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10 **Specific Drug Supply requirements:**

11 The surfactant given to these infants is provided at no cost to the patients in both arms of the trial. The
12
13 average dose of Curosurf is 2.5 mL/kg. Assuming an average weight of 1 kg (for 28 weeks as our mean
14
15 gestational age) x 150 participants would be 375 mL of Curosurf.
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21 **Figure 1. Flowsheet of study procedure**
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25 **Contributorship Statement: FI and AK developed the initial protocol and manuscript. SH, KC, AH,**
26
27 **AB, NF, WR helped revise the manuscript and protocol. AM and JS helped develop the dataset and**
28
29 **variables for the manuscript.**
30
31
32

33 **COMPETING INTERESTS:**
34

35 The authors declare that they have no competing interests.
36
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39

40 **Abbreviations (in alphabetical order)**

41 BPD = Bronchopulmonary Dysplasia (supplemental O₂ at 36 weeks CGA)
42
43

44 Bpm = beats per minute
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46 BSID-4= Bayley Scales of Infant and Toddler Development 4th ed
47

48 CPAP = Continuous Positive Airway Pressure
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50 LISA = Less Invasive Surfactant Administration
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52 nCPAP = Nasal Continuous Positive Airway Pressure
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54 NICU=Neonatal Intensive Care Unit
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2
3 NIMV = Nasal Intermittent Minute Ventilation
4

5 PPV = positive pressure ventilation with bag & mask
6

7 RDS= Respiratory Distress Syndrome
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9

10
11 **FUNDING:**
12

13 A grant for the CaLI trial has been obtained from Chiesi Farmaceutici, S.p.A
14
15

16
17 **PRINCIPAL INVESTIGATOR**
18

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31 **Statistician**
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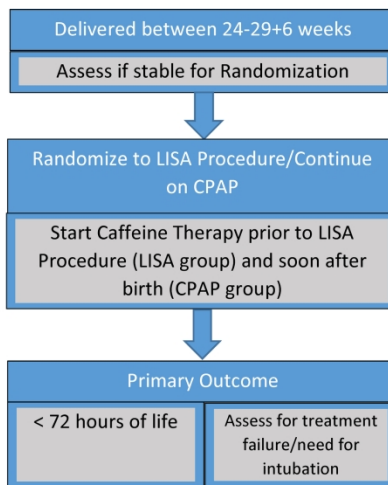


Figure 1. Flowsheet of study procedure

215x279mm (300 x 300 DPI)

BMJ Open

A Multicenter, Randomized Trial of Preterm Infants receiving Caffeine and Less Invasive Surfactant Administration Compared to Caffeine and Early Continuous Positive Airway Pressure (CaLI Trial): Study Protocol

Journal:	<i>BMJ Open</i>
Manuscript ID	bmjopen-2020-038343.R1
Article Type:	Protocol
Date Submitted by the Author:	06-Aug-2020
Complete List of Authors:	Ines, Felix; Sharp Mary Birch Hospital for Women and Newborns, Neonatal Research Institute Hutson, Shandee; Sharp Mary Birch Hospital for Women and Newborns Coughlin, Katherine; Sharp Mary Birch Hospital for Women and Newborns Hopper, Andrew; Loma Linda University Medical Center Banerji, Anamika; Loma Linda University Medical Center Uy, Cherry; University of California Irvine Finer, Neil; University of California San Diego Rich, Wade; Sharp Mary Birch Hospital for Women and Newborns Morales, Ana; Sharp Mary Birch Hospital for Women and Newborns Steen, Jane; Sharp Mary Birch Hospital for Women and Newborns Katheria, Anup; Sharp Mary Birch Hospital for Women and Newborns, Neonatology
Primary Subject Heading:	Paediatrics
Secondary Subject Heading:	Paediatrics
Keywords:	Neonatal intensive & critical care < INTENSIVE & CRITICAL CARE, NEONATOLOGY, RESPIRATORY MEDICINE (see Thoracic Medicine)

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3 **A Multicenter, Randomized Trial of Preterm Infants receiving Caffeine and Less Invasive**
4 **Surfactant Administration Compared to Caffeine and Early Continuous Positive Airway**
5 **Pressure (CaLI Trial): Study Protocol**
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10 Felix Ines, Shandee Hutson, Katherine Coughlin, Andrew Hopper, Anamika Banerji, Cherry Uy,
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ABSTRACT

Introduction: A recent meta-analysis of non-invasive ventilation strategies demonstrated that Less Invasive Surfactant Administration (LISA) had the lowest odd ratio (OR, 0.49; 95% CI 0.3-0.79) for the development of the composite outcome of death or bronchopulmonary dysplasia (BPD) amongst non-invasive ventilation strategies compared to invasive mechanical ventilation.

Despite these results and studies showing it decreased the need for invasive mechanical ventilation compared to Continuous Positive Airway Pressure (CPAP), the use of the LISA method is not universally accepted, however, has found wide acceptance in Europe.

Methods and Analysis: Consented premature infants with gestational age from 24 weeks to 29 weeks plus 6 days will be enrolled within 2 hours of life. Caffeine will be administered prior to administration of surfactant in the LISA group or before 2 hours of life in the control arm.

Ethics and Dissemination: Ethics approval has been obtained. Results will be published and presented at the Pediatric Academic Societies meeting upon completion.

Clinical Trial Registration: www.Clinicaltrials.gov: NCT04209946

Protocol version 1.2P, 21Jul2020

STRENGTHS AND LIMITATIONS OF THIS TRIAL ARE:

- Limited to power for longer term outcomes such as BPD and neurodevelopmental impairment due its smaller size
- Pragmatic in design and does not include blinding
- The first to be prescriptive in the use of caffeine as a co-intervention for LISA administration to test its benefit
- This study will be the most recent in many years to re-study the use of prophylactic surfactant with the LISA method compared to expectant management with CPAP alone.

INTRODUCTION

Advances in the management of the extremely preterm neonates (24+0 weeks to 29+6 weeks) with neonatal respiratory distress syndrome (RDS) has evolved dramatically over the past decades. Interventions to improve outcome and minimize RDS begins with good prenatal care. However, premature delivery may be inevitable, therefore, delivery room management has become an integral part in optimizing the care of these newborns. Specifically, with lung protection in mind, management involves a variation of antenatal steroids, early continuous positive airway pressure (CPAP), early administration of caffeine, early administration of surfactant therapy and the avoidance of invasive mechanical ventilation. The adaptation of various management strategies of RDS continue to evolve due to sustained severe morbidity, including bronchopulmonary dysplasia.

Initial respiratory management includes, early initiation of continuous positive airway pressure (CPAP) and titration of FiO_2 ¹, modifications in the administration of surfactant therapy using less invasive techniques, and the avoidance of mechanical ventilation². Other strategies to optimize success of non-invasive support involves the use of caffeine therapy to serve as a respiratory stimulant. Dekker et al demonstrated that the administration of caffeine in the delivery room compared to upon admission to the NICU produced greater minute ventilation and tidal volumes in premature infants <30 weeks³. The less invasive surfactant administration (LISA) to spontaneously breathing preterm infants has been reported to reduce the duration of invasive mechanical ventilation and the incidence of bronchopulmonary dysplasia.⁴ The combination of early caffeine and LISA has not been tested. Studies have showed a decrease in need for invasive mechanical ventilation compared to CPAP,⁵ however, the LISA method is still not universally practiced, although widely adopted in Europe.⁶

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3 We will conduct a randomized, multicenter trial to test whether infants that receive caffeine,
4 early CPAP, and surfactant via the LISA method compared to infants that receive caffeine, early
5 CPAP and positive pressure ventilation alone, have a decreased need for invasive mechanical
6 ventilation in the first 72 hours of life.
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11 12 13 14 **METHODS AND ANALYSIS**

15
16 The study will be conducted at 3 sites in the United States (Loma Linda University Medical
17 Center, University of California, Irvine, and Sharp Mary Birch Hospital for Women &
18 Newborns) over a 3 year period. Long term neurodevelopmental data will also be collected
19 throughout 2 years of age. The following variables will be collected:
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- 24 1. Frequency of subjects requiring endotracheal intubation between the two groups (LISA
25 vs CPAP) in the first 72 hours of life
 - 26 2. Duration of mechanical ventilation and/or CPAP
 - 27 3. Requirement of supplemental oxygen at 36 weeks corrected age
 - 28 4. Grade III and IV intraventricular hemorrhage
 - 29 5. Spontaneous intestinal perforation
 - 30 6. Retinopathy of prematurity requiring surgery
 - 31 7. Need for repeat surfactant dosing
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44 Pregnant women will be identified and screened from the labor and delivery floor or perinatal
45 special care unit at each site. Parents will be approached and consented prior to delivery. For
46 infants not consented prior to birth, after the first 5 minutes of life and before 2 hours of life,
47 postnatal consent may be obtained for any eligible infant admitted to the NICU and must be
48 randomized and receive treatment prior to their two hours of age. In the delivery room, after the
49 infant's first five minutes of life, the research staff or neonatal delivery team will open the
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3 randomization envelope for the proper gestational age (GA) group. Multiples will be randomized
4
5 to the same treatment group for ease of consent and family considerations. There is no crossover
6
7 allowed between the LISA and CPAP groups, subjects should receive their randomized
8
9 treatment. If the physician determines that the infant requires intubation or is determined to be
10
11 unstable within the first five minutes of life, the infant will be intubated and excluded from the
12
13 study.
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15

16 17 **Inclusion Criteria:**

- 18 • Premature infants born at 24-29+6 weeks gestational age
- 19 • Informed consent obtained (antenatal/postnatal)
- 20 • Infant is spontaneously breathing on CPAP of 5-8 cmH₂O with an FiO₂ of <.40 and
21
22 maintains a normal heart rate (HR>100 Bpm)
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29 **Exclusion Criteria:**

- 30 • Declined consent
- 31 • Infants with known congenital anomalies
- 32 • Requiring intubation prior to randomization
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39 All infants found to have anomalies post-randomization will be analyzed by intent to treat
40
41 principle.
42
43

44 **Patient Allocation:** Randomization cards are computer-generated by Sharp Mary Birch Hospital
45
46 for Women & Newborns and will solely be known by the data manager. Each randomization
47
48 card contains group assignment, real-time data information, and a randomization number, sealed
49
50 in an opaque envelope with a label that indicates the envelope sequence number, site (facility)
51
52 number, and stratification by gestational age. These envelopes will be logged by the data
53
54 manager in a secured data file and then distributed to each research facility. We will enroll 180
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3 preterm infants and will stratify by gestational age (24-26+6 weeks and 27+0-29+6 weeks),
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5 labeled as such on each opaque envelope.
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10 11 **Randomization:**

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13 In order to allow for initial stabilization on CPAP, infants will not be randomized until at least 5
14
15 minutes of life. If the providers have not intubated or plan to intubate the infant in the delivery
16
17 room, consented infants that are assessed by a provider as clinically stable (i.e. HR >100 bpm)
18
19 and spontaneously breathing on CPAP (5-8 cm H₂O) will be randomized. Stabilization of
20
21 premature infants at delivery may include stimulation, positive pressure ventilation or CPAP.
22
23 Multiples will be randomized to the same treatment group for ease of consent and family
24
25 considerations.
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29 Only spontaneously breathing infants on CPAP, maintaining normal heart rate and saturations
30
31 will be included and randomized. When the neonatal provider assesses the infant to be stable on
32
33 CPAP, a member of the research or neonatal team will pull a randomization card according to
34
35 the infant's corrected gestational age. Once the treatment group is identified (LISA or CPAP),
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37 intervention will immediately commence.
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43 **LISA Group:**

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45 For infants randomized to LISA, an intravenous access will be established to administer caffeine.
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47 We will have an orogastric tube placed into the stomach prior to laryngoscopy and the contents
48
49 aspirated before and after the procedure to document any esophageal surfactant administration.
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51 Thereafter, a thin catheter (16G angiocatheter) will be measured and the depth of insertion will
52
53 be marked with intubation tape. The thin catheter will then be placed in the trachea under direct
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3 or video-laryngoscopy by a neonatal practitioner. After the catheter is placed, the laryngoscope
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5 will be removed, the angiocatheter held securely in place, and the infant allowed to
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7 spontaneously breathe on CPAP. Surfactant (Curosurf 2.5 mL/kg, based on estimated fetal
8
9 weight) will be slowly administered over 1-2 minutes (approximately in 3 aliquots) assuring
10
11 synchronized instillation with infant's breathing pattern while on CPAP. After instillation, the
12
13 catheter will be immediately removed and CPAP will continue. If apnea occurs during or after
14
15 the procedure, positive pressure ventilation will be initiated. To improve adherence to protocol
16
17 interventions, all sites have agreed on using senior level physicians or neonatal practitioners that
18
19 have prior experience with the LISA method.
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26 **CPAP Group:**

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28 In adherence to protocol interventions, infants randomized to early CPAP will be managed
29
30 according to sub-site unit practice for preterm infants on CPAP. Premature infants may require
31
32 CPAP immediately after delivery if they elicit signs of labored breathing or unable to maintain
33
34 oxygen saturations within neonatal resuscitation goals despite 100% oxygen supplementation. If
35
36 randomized to the CPAP group, an intravenous access will be established to administer caffeine
37
38 and the infant will continue on CPAP unless infant meets failure criteria and requires intubation.
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44 **Caffeine:**

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46 If randomized to LISA, caffeine will be given prior to the LISA procedure. In contrast, if
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48 randomized to CPAP, caffeine will be given soon after birth. If infants in the CPAP group meet
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50 intubation criteria, and the loading dose of caffeine has not been administered, to avoid any delay
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52 in intubation, Caffeine will be given no later than thirty minutes after intubation.
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Blinding:

As a pragmatic design we realize that a separate research team would not always be able to be present for the randomization and intervention. Therefore, the clinical team caring for the infant will follow strict guidelines for intubation and management of infants to reduce any post-randomization bias (see below)

Intubation criteria:

As an un-blinded trial, it is critical that both groups are standardized to avoid bias towards one arm for mechanical ventilation/treatment failure. Therefore, strict delivery room/ NICU criteria will be used. Furthermore, infants cannot be randomized before 5 minutes of life to ensure that unstable infants that cannot be transitioned on CPAP would not be included. These would include infants that need intubation as specified in the Neonatal Resuscitation Program (NRP) guidelines⁷ and such as: **1)** when chest compressions are needed; **2)** ineffective ventilation (inability to obtain good chest rise and fall despite implementation of the corrective ventilation steps: Mask adjustment; Reposition airway [try again]; Suction mouth and nose; Open mouth [try again]; Pressure increase [up to 40 cm H₂O pressure]; Airway alternative; (MRSOPA), as indicated by the NRP guidelines to obtain effective ventilation); **3)** prolonged PPV (infants requiring positive pressure ventilation for more than 2 minutes in order to maintain HR >100 BpM) ; or **4)** prolonged hypoxia (pre-ductal SpO₂ is not met despite 100% oxygen supplements and resuscitation interventions). Randomization should be delayed until the providers are comfortable that none of these criteria are met in order to avoid any early selection bias.

After stabilization on CPAP infants can be randomized. Criteria for intubation/treatment failure will be recent guidelines for the management of RDS,¹ including: 1) CPAP level of 6-8 cmH₂O and FiO₂ >0.40 required to maintain saturations 90%-95% for 2 hour after randomization; 2) a

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3 pH of 7.15 or less or a $\text{paCO}_2 > 65$ mmHg on any (2) blood gases (arterial/capillary/or venous) at
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5 least 2 hours after randomization and in the first 72 hours of life; 3) continued
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7 Apnea/Bradycardia/Desaturation events despite nasal intermittent minute ventilation (NIMV)
8
9 mode of ventilation. To avoid the bias of withheld ventilation since the study is not masked,
10
11 infants with these criteria will be regarded as treatment failures.
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14 For pragmatic purpose sites will be able to use their standard approach for non-invasive
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16 ventilation as they have agreed to use each mode (NCPAP or NIMV) equally regardless of
17
18 randomization. Subsequent analysis will include primary mode of non-invasive ventilation.
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23 **Participant Timeline:** Figure 1. CaLI Participant Timeline (Supplemental File 1)
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28 **Study Overview Diagram:** (Supplemental File 2)
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33 **Data Management and Collection:**

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35 Data will be managed using REDCap electronic data capture tools hosted and managed at Sharp
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37 Mary Birch Hospital for Women & Newborns. All collected variables are listed in the data report
38
39 form, (DRF forms): CPAP arm Delivery Room Data Collection (supplemental file 3), LISA Data
40
41 Collection (supplemental file 4), CaLI Intubation Data Collection (supplemental file 5). Loma
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43 Linda University Medical Center, University of California Irvine Medical Center, and Sharp
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45 Mary Birch Hospital for Women & Newborns have extensive experience with REDCap data
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47 entry.
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51 Randomization cards are also utilized as data collection forms, with pertinent information
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53 completed and signed by care providers in real-time. To maintain integrity of the study data, site
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3 Data Coordinators will enter data information into REDCap and verified by the primary site Data
4 coordinator and Research Coordinator prior to locking the subject's electronic data file

7 **Data and safety monitoring plan:**

9 An independent, well recognized, data safety monitoring board (DSMB) with experience with
10 respiratory trials is chosen for this study. Drs. Brad Yoder and Wally Carlo have led and
11 participated in a number of trials including: High-Flow Nasal Cannula, High Frequency
12 Ventilation, and Surfactant. In addition, a former parent that has participated in research trials
13 Kirsten Norman has agreed to serve on the DSMB. The DSMB will: 1) oversee the safety data
14 on all study patients, 2) safeguard the interests of all study patients, 3) monitor the overall
15 conduct of the trial, 4) advise the investigators in order to protect the integrity of the trial, and 5)
16 supervise the conduct and analysis of all interim analyses. To this end, the DSMB will receive
17 monthly reports from the trial on any injuries or adverse events, any developments that
18 jeopardize the continued success of the trial, and data by which to accomplish the evaluation of
19 predetermined early stopping rules. All SAEs, protocol deviations, non-serious adverse events
20 (AEs), and unanticipated problems (UPs) will be reported to the Data Coordinating Center
21 (DCC) and forwarded to the DSMB if indicated (see below). Reports of adverse events and
22 recruitment will be sent monthly and demographics will be included with the interim and final
23 safety and efficacy analyses. Interim analyses determined by the DSMB and the project
24 statistician will be conducted independently from the trial leadership and staff. The definitions
25 and reporting process are as follows:

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Serious Adverse Events defined as one or more of the following: decompensation during the
administration of surfactant in either arm including the use of epinephrine in the delivery room
and chest compressions, or death prior to discharge.

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3 1. All SAEs will be reported within 72 hours of discovery of event, to the PI and the site
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5 IRB.
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- 7 2. Any Unexpected AE or Serious Deviation will be reported within 7 days of discovery of
8
9 event to the Data Coordinating Center.
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11

12 13 14 Non-Serious Events 15

16 Unexpected events that are Non-Serious are reported not more than 14 days after the PI first
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18 learns of the event. The DCC will forward all non-serious unexpected events to the DSMB, and
19
20 main study PI. All other expected outcomes of prematurity, i.e. BPD, IVH grades 1-4, ROP,
21
22 NEC, will be collected in the electronic database and reviewed in interim reports. We have
23
24 appointed a DSMB to work closely with the main study PI. There are no conflicts of interest with
25
26 these individuals, who are not research collaborators of, and are at separate institutions from the
27
28 investigators at the enrolling sites.
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31
32 The study will be closely monitored for issues of data quality, study conduct, and adverse events.
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34 These analyses will be presented to the DSMB. Interim analyses will seek to identify results that
35
36 are sufficiently extreme and precise, this is to offset the goal of obtaining additional data that
37
38 might lead to more precise and perhaps less exaggerated and more convincing results, as well as
39
40 information about differences in treatment effect by subgroups of patients. Determinations on
41
42 stopping must reflect ethical considerations of the impact of interim results on clinical equipoise
43
44 as well as considerations on the potential impact (or lack of impact) of interim results on clinical
45
46 practice. The superiority must be tested in the context of this trial first and then superiority
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48 assessed, unless the DSMB is ethically motivated to stop the trial for superiority.
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55 56 **Statistical Analysis Plan:** 57

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3 A chart review of the databases at Sharp Mary Birch has shown that approximately 49% of our
4 infants 24-29+6 weeks' gestation were intubated and mechanically ventilated after 5 minutes of
5 life but within the first 72 hours of life. Therefore, a very conservative sample size calculation
6 indicates that in order to detect a 22% absolute reduction (a reduction from 49% to 27%) we
7 would need at least 75 subjects in each arm for an 80% power and a p-value of less than 0.05 for
8 significance. An adjustment of 1.12 derived from the NICHD Neonatal Research Network
9 Generic Database, allowed for multiples to be randomized to the same treatment introducing a
10 clustering effect.⁸ In order to account for multiples and potential drop out of subjects we plan to
11 consent 90 subjects in each arm (180 subjects total). A future detailed statistical analysis plan
12 will be made available prior to completion of the trial.
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28 **Patient and Public Involvement:**

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31 We have collaborated with parents by presenting this study to the Sharp Mary Birch Parent
32 Advisory Board. Based on their experiences and preferences, we have incorporated their
33 suggestions and they enthusiastically support the study. One of the parents has agreed to be on the
34 DSMB to monitor the trial for safety. Their involvement includes input on the consent form and
35 perspective on the means of recruitment to the study.
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45 **ETHICS AND DISSEMINATION**

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48 Ethics approval has been obtained. Prior to any research procedure, consent will be obtained by
49 the primary investigator or a delegated sub-investigator or a research associate. The mother, or
50 legally authorized representative must sign the informed consent document. Mother (or surrogate
51 mother) must sign a HIPAA authorization providing access to her medical records for collection of
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3 maternal data. Either mother or father or legal guardian can sign a HIPAA authorization providing
4
5 access to the child's medical record for data collection purposes. The subject's legally authorized
6
7 representatives will be given ample time to read the informed consent, ask questions of the research
8
9 team, and discuss the study with their family and/or the subject's physician. The informed consent
10
11 process will be documented in the electronic medical record and copies of the signed and dated
12
13 consent will be given to the subject's representatives, placed in the subject's physical chart, and
14
15 stored in a locked cabinet in the offices of the Neonatal Research Institute. Results will be
16
17 published and presented at the Pediatric Academic Societies meeting upon completion. Any
18
19 important protocol modifications will be communicated to sub-site lead investigators via secured
20
21 email which will include automated confirmation of receipt and recorded audio/visual meetings.
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29 **Confidentiality:**

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31 All data will be safeguarded in accordance with the Health Insurance Portability and
32
33 Accountability Act (HIPAA) and the principles and practices of strict confidentiality. Data will
34
35 be maintained by numerical code rather than personal identifiers and computer-based files will
36
37 be available only to persons involved in the study through the use of access privileges and
38
39 passwords. However, there is still a potential risk of loss of data and privacy.
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47 **Protection against Risk:**

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49 Only research team members (with appropriate research training relevant to protection of human
50
51 subjects) shall have access to the project's databases. The final trial data set will remain with the
52
53 lead PI and DCC.
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CONTRIBUTORSHIP STATEMENT

FI and AK developed the initial protocol and manuscript. SH, KC, AH, AB, CU, NF, WR helped revise the manuscript and protocol. AM and JS helped develop the dataset and variables for the manuscript. KN represents a parent adviser and is involved in the conduct of the study by means of the DSMB.

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FUNDING STATEMENT

1
2
3 A grant to support the CaLI trial has been obtained from Chiesi Farmaceutici, S.p.A and with
4 this financial support, the primary study site maintains ultimate authority overall study activities.
5
6

7 **Chiesi Grant #: CRTX-GR-717**
8
9

10 11 12 **COMPETING INTERESTS**

13
14 The Principal Investigator for the overall trial and each study site declare no financial or other
15 competing interests.
16
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18

19 20 21 **APPENDIX**

22 23 **Figure 1. CaLI Participant Timeline**

24
25 **Supplementary Files: Data Report Forms (DRF)**

26
27
28 **Study Overview Diagram (Draft)**
29
30

31 32 **Abbreviations (in alphabetical order)**

33
34 BPD = Bronchopulmonary Dysplasia (supplemental O2 at 36 weeks CGA)

35
36 Bpm = beats per minute

37
38 BSID-4= Bayley Scales of Infant and Toddler Development 4th ed

39
40 CPAP = Continuous Positive Airway Pressure

41
42 LISA = Less Invasive Surfactant Administration

43
44 NCPAP = Nasal Continuous Positive Airway Pressure

45
46 NICU=Neonatal Intensive Care Unit

47
48 NIMV = Nasal Intermittent Minute Ventilation

49
50 PPV = positive pressure ventilation with bag & mask

51
52 RDS= Respiratory Distress Syndrome
53
54
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1
2
3 ROP= Retinopathy of Prematurity
4

5 SMBHWN= Sharp Mary Birch Hospital for Women & Newborns
6

7 LLU= Loma Linda University Medical Center
8

9 UCI= University of California Irvine Medical Center
10
11
12

13
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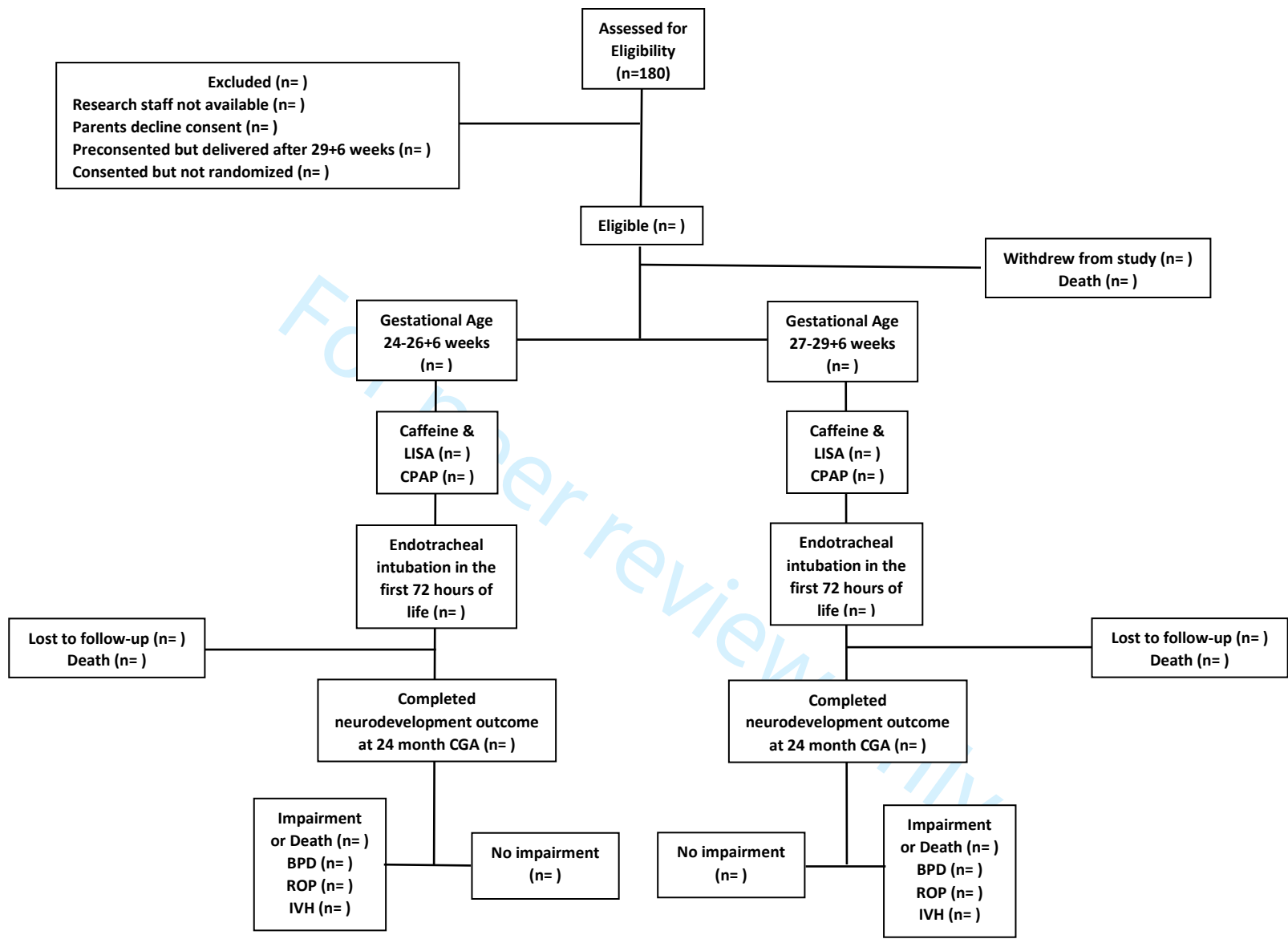
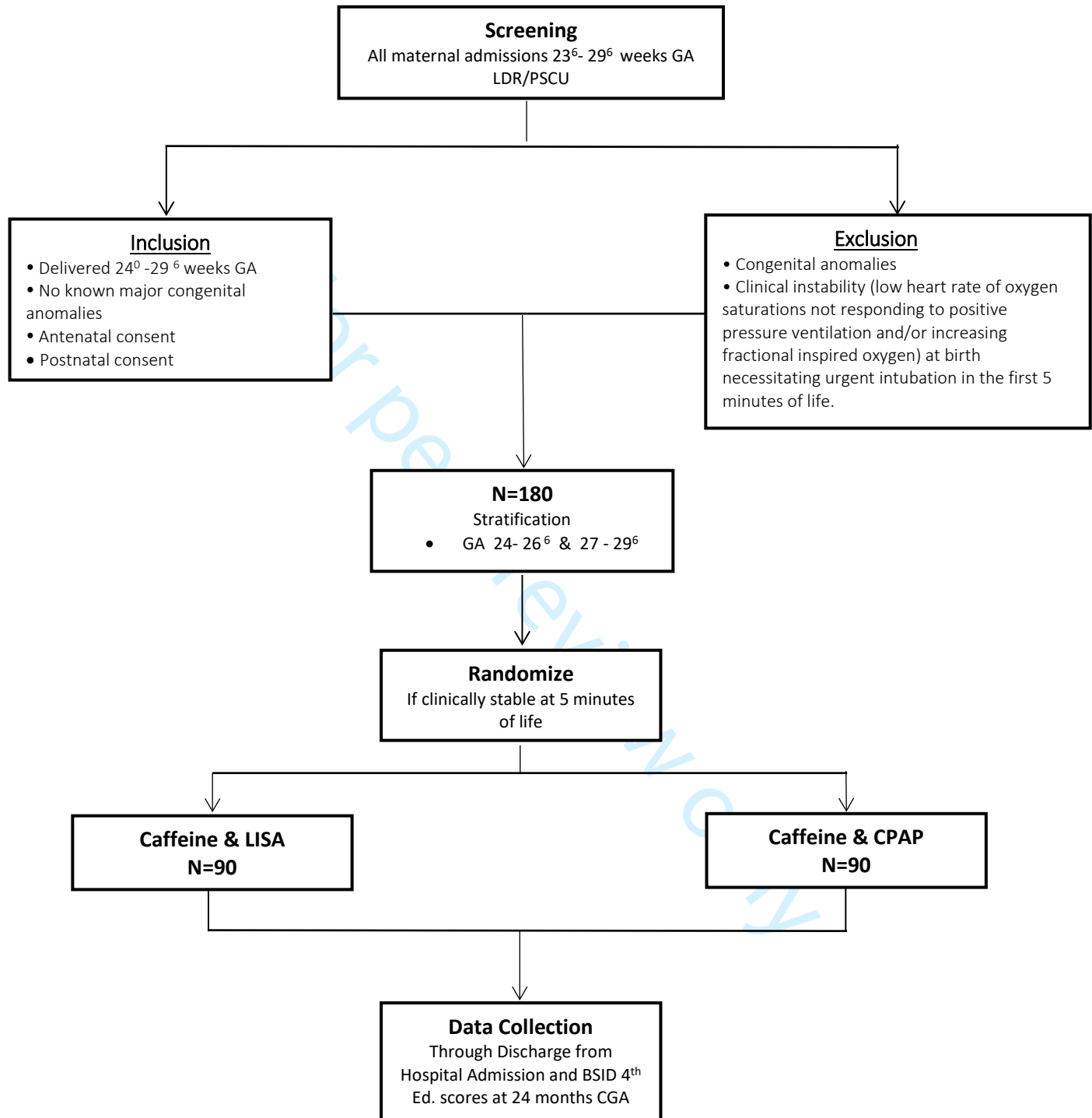


Figure 1 CaLI Participant Timeline

CaLI Study Overview Diagram



CALI Study Randomization Card

Treatment: **CPAP & Caffeine**

Subject ID: _____

Site #: _____

Date/time of Randomization: ____/____/____ : ____
MM / DD / YYYY HH : MM

Complete at time of randomization	
1. CPAP Level?	_____ cmH2O
2. FiO2 requirement?	_____ %
3. Vitals: HR/SpO2	HR: _____ Bpm SpO2 _____ %
4. Caffeine Therapy started in LDR/Resuscitation Rm?	<input type="checkbox"/> Yes <input type="checkbox"/> No
Notes/comments:	
<p>If infant requires intubation within 72 hours of randomization, Please complete Intubation Card and call Neonatal Research at x6307</p>	

Affix patient label to back of this card

Completed By (Name): _____ Date: ____/____/____

Treatment: **LISA & Caffeine**

Subject ID: _____ Site #: _____

Date/time of Randomization: ____/____/____ : ____
MM / DD / YYYY HH : MM

PLEASE REFER ON BACK OF CARD FOR LISA PROCEDURAL CHECKLIST

9 FiO2: _____ CPAP: _____ SpO2: _____ HR: _____ at randomization	
11 1. Caffeine Therapy started in 12 LDR/Resuscitation Rm?	<input type="checkbox"/> Yes <input type="checkbox"/> No
15 2. Start time of LISA (from 16 Laryngoscopy attempt)	Time: ____ : ____ HH : MM
18 3. Duration of Laryngoscopy 19 attempt? (Time of insertion to 20 removal)	1 st _____ seconds 2 nd _____ seconds 3 rd _____ seconds
21 4. Successful placement of LISA 22 catheter?	<input type="checkbox"/> Yes <input type="checkbox"/> No
23 5. Total surfactant administered 24 (2.5 mL/kg)	_____ mLs
26 6. End time of LISA (removal of 27 angiocatheter)	Time: ____ : ____ HH : MM
29 7. Surfactant aspirated from 30 stomach or leaked from mouth 31 (failure/regurgitation from trachea?)	<input type="checkbox"/> Yes <input type="checkbox"/> No
32 8. Amount surfactant aspirated?	_____ mLs
34 9. Lowest HR during procedure?	_____ Bpm
35 10. Lowest SpO2 during procedure?	_____ %
37 11. Interventions?	Notes:

Affix patient label to back of this card

44 Completed By (Name): _____ Date: ____/____/____ Peer review only - <http://bmjopen.bmj.com/site/about/guidelines.xhtml>

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For peer review only

Use only if intubating within 72 HOURS

Use only if intubating within 72 HOURS

Date/Time of 72 hours after randomization: MM/DD/YYYY HH:MM

Date/Time of 72 hours after randomization: MM/DD/YYYY HH:MM

Subject ID: Site #:

Subject ID: Site #:

Treatment assignment: Caffeine & CPAP Caffeine & LISA

Treatment assignment: Caffeine & CPAP Caffeine & LISA

PLEASE COMPLETE & CALL Neonatal Research at X6307

PLEASE COMPLETE & CALL Neonatal Research at X6307

Form with 6 sections: 1. Date/Time of Intubation, 2. Duration of Laryngoscopy, 3. Was Intubation successful?, 4. Lowest HR during procedure?, 5. Lowest SpO2 during procedure?, 6. Reason Patient Intubated

Form with 6 sections: 1. Date/Time of Intubation, 2. Duration of Laryngoscopy, 3. Was Intubation successful?, 4. Lowest HR during procedure?, 5. Lowest SpO2 during procedure?, 6. Reason Patient Intubated

Affix patient label to back of this card

Affix patient label to back of this card

Completed By

Completed By

Printed Name: Initials: Date:

Printed Name: Initials: Date:



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

Section/item	Item No	Description
Administrative information		
Title	1	Descriptive title identifying the study design, population, interventions, and, if applicable, trial acronym
Trial registration	2a	Trial identifier and registry name. If not yet registered, name of intended registry
	2b	All items from the World Health Organization Trial Registration Data Set
Protocol version	3	Date and version identifier
Funding	4	Sources and types of financial, material, and other support
Roles and responsibilities	5a	Names, affiliations, and roles of protocol contributors
	5b	Name and contact information for the trial sponsor
	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
	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)
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
	6b	Explanation for choice of comparators
Objectives	7	Specific objectives or hypotheses
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)

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
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)
Interventions	11a	Interventions for each group with sufficient detail to allow replication, including how and when they will be administered
	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)
	11c	Strategies to improve adherence to intervention protocols, and any procedures for monitoring adherence (eg, drug tablet return, laboratory tests)
	11d	Relevant concomitant care and interventions that are permitted or prohibited during the trial
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
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)
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
Recruitment	15	Strategies for achieving adequate participant enrolment to reach target sample size

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
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1			
2	Allocation	16b	Mechanism of implementing the allocation sequence (eg, central
3	concealment		telephone; sequentially numbered, opaque, sealed envelopes),
4	mechanism		describing any steps to conceal the sequence until interventions are
5			assigned
6			
7	Implementation	16c	Who will generate the allocation sequence, who will enrol participants,
8			and who will assign participants to interventions
9			
10	Blinding	17a	Who will be blinded after assignment to interventions (eg, trial
11	(masking)		participants, care providers, outcome assessors, data analysts), and
12			how
13		17b	If blinded, circumstances under which unblinding is permissible, and
14			procedure for revealing a participant's allocated intervention during
15			the trial
16			
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19			

Methods: Data collection, management, and analysis

20			
21	Data collection	18a	Plans for assessment and collection of outcome, baseline, and other
22	methods		trial data, including any related processes to promote data quality (eg,
23			duplicate measurements, training of assessors) and a description of
24			study instruments (eg, questionnaires, laboratory tests) along with
25			their reliability and validity, if known. Reference to where data
26			collection forms can be found, if not in the protocol
27		18b	Plans to promote participant retention and complete follow-up,
28			including list of any outcome data to be collected for participants who
29			discontinue or deviate from intervention protocols
30			
31	Data	19	Plans for data entry, coding, security, and storage, including any
32	management		related processes to promote data quality (eg, double data entry;
33			range checks for data values). Reference to where details of data
34			management procedures can be found, if not in the protocol
35			
36	Statistical	20a	Statistical methods for analysing primary and secondary outcomes.
37	methods		Reference to where other details of the statistical analysis plan can be
38			found, if not in the protocol
39		20b	Methods for any additional analyses (eg, subgroup and adjusted
40			analyses)
41		20c	Definition of analysis population relating to protocol non-adherence
42			(eg, as randomised analysis), and any statistical methods to handle
43			missing data (eg, multiple imputation)
44			
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Methods: Monitoring

52			
53	Data monitoring	21a	Composition of data monitoring committee (DMC); summary of its role
54			and reporting structure; statement of whether it is independent from
55			the sponsor and competing interests; and reference to where further
56			details about its charter can be found, if not in the protocol.
57			Alternatively, an explanation of why a DMC is not needed
58			
59			
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1		21b	Description of any interim analyses and stopping guidelines, including
2			who will have access to these interim results and make the final
3			decision to terminate the trial
4			
5			
6	Harms	22	Plans for collecting, assessing, reporting, and managing solicited and
7			spontaneously reported adverse events and other unintended effects
8			of trial interventions or trial conduct
9			
10			
11	Auditing	23	Frequency and procedures for auditing trial conduct, if any, and
12			whether the process will be independent from investigators and the
13			sponsor
14			

Ethics and dissemination

15			
16			
17	Research ethics	24	Plans for seeking research ethics committee/institutional review board
18	approval		(REC/IRB) approval
19			
20			
21	Protocol	25	Plans for communicating important protocol modifications (eg,
22	amendments		changes to eligibility criteria, outcomes, analyses) to relevant parties
23			(eg, investigators, REC/IRBs, trial participants, trial registries, journals,
24			regulators)
25			
26	Consent or assent	26a	Who will obtain informed consent or assent from potential trial
27			participants or authorised surrogates, and how (see Item 32)
28			
29		26b	Additional consent provisions for collection and use of participant data
30			and biological specimens in ancillary studies, if applicable
31			
32			
33	Confidentiality	27	How personal information about potential and enrolled participants will
34			be collected, shared, and maintained in order to protect confidentiality
35			before, during, and after the trial
36			
37	Declaration of	28	Financial and other competing interests for principal investigators for
38	interests		the overall trial and each study site
39			
40			
41	Access to data	29	Statement of who will have access to the final trial dataset, and
42			disclosure of contractual agreements that limit such access for
43			investigators
44			
45	Ancillary and	30	Provisions, if any, for ancillary and post-trial care, and for
46	post-trial care		compensation to those who suffer harm from trial participation
47			
48	Dissemination	31a	Plans for investigators and sponsor to communicate trial results to
49	policy		participants, healthcare professionals, the public, and other relevant
50			groups (eg, via publication, reporting in results databases, or other
51			data sharing arrangements), including any publication restrictions
52			
53		31b	Authorship eligibility guidelines and any intended use of professional
54			writers
55			
56			
57		31c	Plans, if any, for granting public access to the full protocol, participant-
58			level dataset, and statistical code
59			
60			

Appendices

Informed consent materials	32	Model consent form and other related documentation given to participants and authorised surrogates
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

*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](#)" license.

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BMJ Open

A Multicenter, Randomized Trial of Preterm Infants receiving Caffeine and Less Invasive Surfactant Administration Compared to Caffeine and Early Continuous Positive Airway Pressure (CaLI Trial): Study Protocol

Journal:	<i>BMJ Open</i>
Manuscript ID	bmjopen-2020-038343.R2
Article Type:	Protocol
Date Submitted by the Author:	21-Oct-2020
Complete List of Authors:	Ines, Felix; Sharp Mary Birch Hospital for Women and Newborns, Neonatal Research Institute Hutson, Shandee; Sharp Mary Birch Hospital for Women and Newborns Coughlin, Katherine; Sharp Mary Birch Hospital for Women and Newborns Hopper, Andrew; Loma Linda University Medical Center Banerji, Anamika; Loma Linda University Medical Center Uy, Cherry; University of California Irvine Finer, Neil; University of California San Diego Rich, Wade; Sharp Mary Birch Hospital for Women and Newborns Morales, Ana; Sharp Mary Birch Hospital for Women and Newborns Steen, Jane; Sharp Mary Birch Hospital for Women and Newborns Katheria, Anup; Sharp Mary Birch Hospital for Women and Newborns, Neonatology
Primary Subject Heading:	Paediatrics
Secondary Subject Heading:	Paediatrics
Keywords:	Neonatal intensive & critical care < INTENSIVE & CRITICAL CARE, NEONATOLOGY, RESPIRATORY MEDICINE (see Thoracic Medicine)

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3 **A Multicenter, Randomized Trial of Preterm Infants receiving Caffeine and Less Invasive**
4 **Surfactant Administration Compared to Caffeine and Early Continuous Positive Airway**
5 **Pressure (CaLI Trial): Study Protocol**
6
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10 Felix Ines, Shandee Hutson, Katherine Coughlin, Andrew Hopper, Anamika Banerji, Cherry Uy,
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ABSTRACT

Introduction: Respiratory Distress Syndrome (RDS) or surfactant deficiency occurs primarily in premature infants resulting in composite outcomes of death or bronchopulmonary dysplasia.

Initial management strategies for preterm infants with RDS includes early initiation of continuous positive airway pressure (CPAP) and titration of FiO₂, and may include the use of less invasive surfactant administration (LISA) to avoid the need for mechanical ventilation. The use of the LISA method in the United States is limited, but, is widespread in Europe and Australia. In order to optimize success of non-invasive support, the use of early caffeine therapy may be critical to the success of LISA. We will conduct a multicenter, randomized trial to test whether infants that receive caffeine, CPAP, and surfactant via the LISA method compared to infants that receive caffeine and CPAP alone, have a decreased need for invasive mechanical ventilation in the first 72 hours of life.

Methods and Analysis: Consented premature infants with gestational age from 24 weeks to 29 weeks plus 6 days will be enrolled within 2 hours of life. Caffeine will be administered soon after randomization in both arms and prior to surfactant in the LISA arm or before 2 hours of life in the control arm. A future detailed statistical analysis plan will be made available prior to completion of the trial.

Ethics and Dissemination: This protocol and the template informed consent form contained in Appendix II was reviewed and approved by the sponsor and the applicable Institutional Review Boards with respect to scientific content and compliance with applicable research and human subject regulations.

Results will be published and presented at the Pediatric Academic Societies meeting upon completion and study participants will be provided a copy of the results of the research article.

Clinical Trial Registration: www.Clinicaltrials.gov: NCT04209946

STRENGTHS AND LIMITATIONS OF THIS TRIAL ARE:

- Limited to power for longer term outcomes such as BPD and neurodevelopmental impairment due its smaller size
- Pragmatic in design and does not include blinding
- The first to be prescriptive in the use of caffeine as a co-intervention for LISA administration to test its benefit
- This study will be the most recent in many years to re-study the use of prophylactic surfactant with the LISA method compared to expectant management with CPAP alone.

INTRODUCTION

Premature infants are commonly born with respiratory distress syndrome (RDS) or surfactant deficiency that may lead into respiratory failure. Advances in respiratory management includes, early initiation of continuous positive airway pressure (CPAP) and titration of FiO₂,¹ modifications in the administration of surfactant therapy using less invasive techniques, and the avoidance of mechanical ventilation.² Other strategies to optimize success of non-invasive support involves the use of caffeine therapy to serve as a respiratory stimulant. Dekker et al demonstrated that the administration of caffeine in the delivery room compared to upon admission to the NICU produced greater minute ventilation and tidal volumes in premature infants <30 weeks.³ The less invasive surfactant administration (LISA) to spontaneously

1
2
3 breathing preterm infants has been reported to reduce the need for mechanical ventilation. ⁴A
4
5 recent meta-analysis of non-invasive ventilation strategies demonstrated that Less Invasive
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7 Surfactant Administration (LISA) had the lowest odd ratio (OR, 0.49; 95% CI 0.3-0.79) for the
8
9 development of the composite outcome of death or bronchopulmonary dysplasia amongst non-
10
11 invasive ventilation strategies compared to invasive mechanical ventilation. ⁵ The combination of
12
13 early Caffeine and LISA has not been tested and despite these results and studies showing it
14
15 decreased the need for invasive mechanical ventilation compared to Continuous Positive Airway
16
17 Pressure, the use of the LISA method in the United States is limited, however, is widely adapted
18
19 in Europe and Australia. ⁶

25 26 **METHODS AND ANALYSIS**

27
28 The study is designed as a multicenter, un-blinded, randomized trial of preterm infants receiving
29
30 Caffeine and Less Invasive Surfactant Administration compared to Caffeine and CPAP with a
31
32 primary outcome of frequency of subject endotracheal intubation between the two groups
33
34 (Caffeine and LISA vs Caffeine and CPAP) within the first 72 hours of life. The study will be
35
36 conducted at 3 sites in the United States (Loma Linda University Medical Center, University of
37
38 California, Irvine, and Sharp Mary Birch Hospital for Women & Newborns) over a 3 year
39
40 period. The following variables will be collected:

- 41
42
43
44 1. Frequency of subjects requiring endotracheal intubation between the two groups (LISA
45
46 vs CPAP) in the first 72 hours of life
- 47
48
49 2. Duration of mechanical ventilation and/or CPAP
- 50
51
52 3. Requirement of supplemental oxygen at 36 weeks corrected age
- 53
54
55 4. Grade III and IV intraventricular hemorrhage
- 56
57
58 5. Spontaneous intestinal perforation

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- 2
- 3 6. Necrotizing Enterocolitis
- 4
- 5 7. Retinopathy of prematurity requiring surgery
- 6
- 7 8. Need for repeat surfactant dosing
- 8
- 9

10 Long term neurodevelopmental data will also be collected throughout 2 years of age.

11
12 Pregnant women will be identified and screened from the labor and delivery floor (LD) or
13 perinatal special care unit (PSCU) at each site. Parents will be approached and consented prior to
14 delivery. In the delivery room, after the infant's first five minutes of life, the research staff or
15 neonatal delivery team will open the randomization envelope for the proper gestational age (GA)
16 group. Multiples will be randomized to the same treatment group for ease of consent and family
17 considerations. There is no crossover allowed between the LISA and CPAP groups, subjects
18 should receive their randomized treatment. If the physician determines that the infant requires
19 intubation or is determined to be unstable within the first five minutes of life, the infant will be
20 intubated and excluded from the study.
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33 **Inclusion Criteria:**

- 34 • Premature infants born at 24-29+6 weeks gestational age
- 35
- 36 • Informed consent obtained (antenatal/postnatal)
- 37
- 38 • Infant is spontaneously breathing on CPAP of 5-8 cmH₂O with an FiO₂ of <.40 and
- 39
- 40 maintains a normal heart rate (HR>100 Bpm)
- 41
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46 **Exclusion Criteria:**

- 47 • Declined consent
- 48
- 49 • Infants with known congenital anomalies
- 50
- 51 • Requiring intubation in the delivery room
- 52
- 53
- 54
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1
2
3 All infants found to have anomalies post-randomization will be analyzed by intent to treat
4
5 principle.
6
7

8 **Patient Allocation:** Randomization cards are computer-generated by Sharp Mary Birch Hospital
9
10 for Women & Newborns and will solely be known by the data manager. Each randomization
11
12 card contains group assignment, real-time data information, and a randomization number, sealed
13
14 in an opaque envelope with a label that indicates the envelope sequence number, site (facility)
15
16 number, and stratification by gestational age. These envelopes will be logged by the data
17
18 manager in a secured data file and then distributed to each research facility. We will enroll 180
19
20 preterm infants and will stratify by gestational age (24-26+6 weeks and 27+0-29+6 weeks),
21
22 labeled as such on each opaque envelope.
23
24
25

26
27 **Randomization:**
28

29 In order to allow for initial stabilization on CPAP, infants will not be randomized until at least 5
30
31 minutes of life. If the providers have not intubated or plan to intubate the infant in the delivery
32
33 room, consented infants that are assessed by a provider as clinically stable (i.e. HR >100 bpm)
34
35 and spontaneously breathing on CPAP (5-8 cm H₂O) will be randomized. Stabilization of
36
37 premature infants at delivery may include stimulation, positive pressure ventilation or CPAP.
38
39 Only spontaneously breathing infants on CPAP, maintaining normal heart rate and saturations
40
41 will be included and randomized. When the neonatal provider assesses the infant to be stable on
42
43 CPAP, a member of the research or neonatal team will pull a randomization card according to
44
45 the infant's corrected gestational age. Once the treatment group is identified (Caffeine and LISA
46
47 or Caffeine and CPAP), intervention will immediately commence.
48
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55 **LISA Group:**
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57

1
2
3 For infants randomized to LISA, an intravenous access will be established to administer caffeine.

4
5 We will have an orogastric tube placed into the stomach prior to laryngoscopy and the contents
6
7 aspirated before and after the procedure to document any esophageal surfactant administration.

8
9 Thereafter, a thin catheter (16G angiocatheter) will be measured and the depth of insertion will
10
11 be marked with intubation tape. The thin catheter will then be placed in the trachea under direct
12
13 or video-laryngoscopy by a neonatal practitioner. After the catheter is placed, the laryngoscope
14
15 will be removed, the angiocatheter held securely in place, and the infant allowed to
16
17 spontaneously breathe on CPAP. Surfactant (Curosurf 2.5 mL/kg, based on estimated fetal
18
19 weight) will be slowly administered over 1-2 minutes (approximately in 3 aliquots) assuring
20
21 synchronized instillation with infant's breathing pattern while on CPAP. After instillation, the
22
23 catheter will be immediately removed and CPAP will continue. If apnea occurs during or after
24
25 the procedure, positive pressure ventilation will be initiated. To improve adherence to protocol
26
27 interventions, all sites have agreed on using senior level physicians or neonatal practitioners that
28
29 have prior experience with the LISA method.

30
31 Data collection in the LISA group is collected using the Caffeine and LISA Randomization card
32
33 (Supplemental file 1)

34 35 36 37 38 39 40 41 42 **CPAP Group:**

43
44 In adherence to protocol interventions, infants randomized to early CPAP will be managed
45
46 according to sub-site unit practice for preterm infants on CPAP. If randomized to the CPAP
47
48 group, an intravenous access will be established to administer caffeine and the infant will
49
50 continue on CPAP unless infant meets failure criteria and requires intubation.

51
52 Data collection in the CPAP group is collected using the Caffeine and CPAP Randomization
53
54 card (Supplemental file 2)

Caffeine:

Caffeine will be given in both groups as soon as IV access is obtained. Since caffeine must be given prior to the LISA procedure we have required that it must be given as early as possible but 2 hours of birth.

Similarly, if randomized to CPAP, caffeine will be given soon after birth. If infants in the CPAP group meet intubation criteria, and the loading dose of caffeine has not been administered, to avoid any delay in intubation, Caffeine will be given no later than thirty minutes after intubation.

The Caffeine preparation for this study is Caffeine Citrate with a loading dose of 20 mg/kg given via an intravenous access over 15-30 minutes. Time of Caffeine administration will be captured in subject's Electronic Medical Records (EMR).

Blinding:

Due to the nature of the intervention neither participants nor staff can be blinded to allocation, but are strongly encouraged not to disclose the allocation status of the participant at the follow up assessments.

As a pragmatic design we realize that a separate research team would not always be able to be present for the randomization and intervention. Therefore, the clinical team caring for the infant will follow strict guidelines for intubation and management of infants to reduce any post-randomization bias (see below)

Intubation criteria:

As an un-blinded trial, it is critical that both groups are standardized to avoid bias towards one arm for mechanical ventilation/treatment failure. Therefore, strict delivery room/ NICU criteria will be used. Furthermore, infants cannot be randomized before 5 minutes of life to ensure that unstable infants that cannot be transitioned on CPAP would not be included. These would

1
2
3 include infants that need intubation as specified in the Neonatal Resuscitation Program (NRP)
4 guidelines ⁷ and such as: **1)** when chest compressions are needed; **2)** ineffective ventilation
5 (inability to obtain good chest rise and fall despite implementation of the corrective ventilation
6 steps: Mask adjustment; Reposition airway [try again]; Suction mouth and nose; Open mouth
7 [try again]; Pressure increase [up to 40 cm H₂O pressure]; Airway alternative; (MRSOPA), as
8 indicated by the NRP guidelines to obtain effective ventilation); **3)** prolonged PPV (infants
9 requiring positive pressure ventilation for more than 2 minutes in order to maintain HR >100
10 BpM) ; or **4)** prolonged hypoxia (pre-ductal SpO₂ is not met despite 100% oxygen supplements
11 and resuscitation interventions). Randomization should be delayed until the providers are
12 comfortable that none of these criteria are met in order to avoid any early selection bias.
13
14

15
16 After stabilization on CPAP infants can be randomized. Criteria for intubation/treatment failure
17 will be recent guidelines for the management of RDS, ¹ including: 1) CPAP level of 6-8 cmH₂O
18 and FiO₂ >0.40 required to maintain saturations 90%-95% for 2 hour after randomization; 2) a
19 pH of 7.15 or less or a paCO₂ >65 mmHg on any (2) blood gases (arterial/capillary/or venous) at
20 least 2 hours after randomization and in the first 72 hours of life; 3) continued
21 Apnea/Bradycardia/Desaturation events despite nasal intermittent minute ventilation (NIMV)
22 mode of ventilation. To avoid the bias of withheld ventilation since the study is not masked,
23 infants with these criteria will be regarded as treatment failures.
24
25

26 For pragmatic purpose sites will be able to use their standard approach for non-invasive
27 ventilation as they have agreed to use each mode (NCPAP or NIMV) equally regardless of
28 randomization. Subsequent analysis will include primary mode of non-invasive ventilation.
29
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31 Data collection on intubation will be collected using the Intubation card (Supplemental file 3)
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3 **Participant Timeline:** To indicate participant timeline between the Caffeine and LISA
4 procedure vs the Caffeine and CPAP procedure, [Figure 1. CaLI Participant Timeline]
5
6
7 (Supplemental File 4) is attached.
8
9

10
11
12 **Patient and Public Involvement:**
13

14
15 We have collaborated with parents by presenting this study to the Sharp Mary Birch Parent
16 Advisory Board. Based on their experiences and preferences, we have incorporated their
17 suggestions and they enthusiastically support the study. One of the parents has agreed to be on
18 the DSMB to monitor the trial for safety. Their involvement includes input on the consent form
19 and perspective on the means of recruitment to the study.
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29 **Study Overview Diagram:** (Supplemental File 5)
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34 **Data Management and Collection:**
35

36 Data will be managed using REDCap electronic data capture tools hosted and managed at Sharp
37 Mary Birch Hospital for Women & Newborns. All collected variables are listed in the data report
38 form, (DRF forms): LISA Data Collection (supplemental file 1), CPAP arm Delivery Room Data
39 Collection (supplemental file 2), and CaLI Intubation Data Collection (supplemental file 3).
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3 Data Coordinators will enter data information into REDCap and verified by the primary site Data
4 coordinator and Research Coordinator prior to locking the subject's electronic data file.
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10 **Data and safety monitoring plan:**

11 An independent, well recognized, data safety monitoring board (DSMB) with experience with
12 respiratory trials is chosen for this study. Drs. Brad Yoder and Wally Carlo have led and
13 participated in a number of trials including: High-Flow Nasal Cannula, High Frequency
14 Ventilation, and Surfactant. In addition, a former parent that has participated in research trials
15 Kirsten Norman has agreed to serve on the DSMB. The DSMB will: 1) oversee the safety data
16 on all study patients, 2) safeguard the interests of all study patients, 3) monitor the overall
17 conduct of the trial, 4) advise the investigators in order to protect the integrity of the trial, and 5)
18 supervise the conduct and analysis of all interim analyses. To this end, the DSMB will receive
19 monthly reports from the trial on any injuries or adverse events, any developments that
20 jeopardize the continued success of the trial, and data by which to accomplish the evaluation of
21 predetermined early stopping rules. All SAEs, protocol deviations, non-serious adverse events
22 (AEs), and unanticipated problems (UPs) will be reported to the Data Coordinating Center
23 (DCC) and forwarded to the DSMB if indicated (see below). Reports of adverse events and
24 recruitment will be sent monthly and demographics will be included with the interim and final
25 safety and efficacy analyses. Interim analyses determined by the DSMB and the project
26 statistician will be conducted independently from the trial leadership and staff. The definitions
27 and reporting process are as follows:
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51 Serious Adverse Events defined as one or more of the following: decompensation during the
52 administration of surfactant in either arm including the use of epinephrine in the delivery room
53 and chest compressions, or death prior to discharge.
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2
3 1. All SAEs will be reported within 72 hours of discovery of event, to the PI and the site
4
5 IRB.
6
- 7 2. Any Unexpected AE or Serious Deviation will be reported within 7 days of discovery of
8
9 event to the Data Coordinating Center.
10

11 12 13 14 Non-Serious Events

15
16 Unexpected events that are Non-Serious are reported not more than 14 days after the PI first
17
18 learns of the event. The DCC will forward all non-serious unexpected events to the DSMB, and
19
20 main study PI. All other expected outcomes of prematurity, i.e. BPD, IVH grades 1-4, ROP,
21
22 NEC, will be collected in the electronic database and reviewed in interim reports. We have
23
24 appointed a DSMB to work closely with the main study PI. There are no conflicts of interest with
25
26 these individuals, who are not research collaborators of, and are at separate institutions from the
27
28 investigators at the enrolling sites.
29
30

31
32 The study will be closely monitored for issues of data quality, study conduct, and adverse events.
33
34 These analyses will be presented to the DSMB. Interim analyses will seek to identify results that
35
36 are sufficiently extreme and precise, this is to offset the goal of obtaining additional data that
37
38 might lead to more precise and perhaps less exaggerated and more convincing results, as well as
39
40 information about differences in treatment effect by subgroups of patients. Determinations on
41
42 stopping must reflect ethical considerations of the impact of interim results on clinical equipoise
43
44 as well as considerations on the potential impact (or lack of impact) of interim results on clinical
45
46 practice. The superiority must be tested in the context of this trial first and then superiority
47
48 assessed, unless the DSMB is ethically motivated to stop the trial for superiority.
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55 56 **Statistical Analysis Plan:**

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3 A chart review of the databases at Sharp Mary Birch has shown that approximately 49% of our
4
5 infants 24-29+6 weeks' gestation were intubated and mechanically ventilated after 5 minutes of
6
7 life but within the first 72 hours of life. Therefore, a very conservative sample size calculation
8
9 indicates that in order to detect a 22% absolute reduction (a reduction from 49% to 27%) we
10
11 would need at least 75 subjects in each arm for an 80% power and a p-value of less than 0.05 for
12
13 significance. An adjustment of 1.12 derived from the NICHD Neonatal Research Network
14
15 Generic Database, allowed for multiples to be randomized to the same treatment introducing a
16
17 clustering effect.⁸ In order to account for multiples and potential drop out of subjects we plan to
18
19 consent 90 subjects in each arm (180 subjects total). A future detailed statistical analysis plan
20
21 will be made available prior to completion of the trial.
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28 **ETHICS AND DISSEMINATION**

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31 Ethics approval has been obtained. Prior to any research procedure, consent will be obtained by
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33 the primary investigator or a delegated sub-investigator or a research associate. The mother, or
34
35 legally authorized representative must sign the informed consent document. Mother (or surrogate
36
37 mother) must sign a HIPAA authorization providing access to her medical records for collection of
38
39 maternal data. Either mother or father or legal guardian can sign a HIPAA authorization providing
40
41 access to the child's medical record for data collection purposes. The subject's legally authorized
42
43 representatives will be given ample time to read the informed consent, ask questions of the research
44
45 team, and discuss the study with their family and/or the subject's physician. The informed consent
46
47 process will be documented in the electronic medical record and copies of the signed and dated
48
49 consent will be given to the subject's representatives, placed in the subject's physical chart, and
50
51 stored in a locked cabinet in the offices of the Neonatal Research Institute. Results will be
52
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3 published and presented at the Pediatric Academic Societies meeting upon completion. Any
4
5 important protocol modifications will be communicated to sub-site lead investigators via secured
6
7 email which will include automated confirmation of receipt and recorded audio/visual meetings.
8
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10 **Confidentiality:**

11
12 All data will be safeguarded in accordance with the Health Insurance Portability and
13
14 Accountability Act (HIPAA) and the principles and practices of strict confidentiality. Data will
15
16 be maintained by numerical code rather than personal identifiers and computer-based files will
17
18 be available only to persons involved in the study through the use of access privileges and
19
20 passwords. All local databases will be secured with password-protected access systems. Forms,
21
22 lists, logbooks, appointment books, and any other listings that link participant ID numbers to
23
24 other identifying information will be stored in a separate, locked file in an area with limited
25
26 access.
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31 **Protection against Risk:**

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33 Only research team members (with appropriate research training relevant to protection of human
34
35 subjects) shall have access to the project's databases. The final trial data set will remain with the
36
37 lead PI and DCC.
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42 **APPENDIX II**

43 **Informed Consent Form**

44 **Abbreviations (in alphabetical order)**

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50 BPD = Bronchopulmonary Dysplasia (supplemental O2 at 36 weeks CGA)

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52
53
54 Bpm = beats per minute
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3 BSID-4= Bayley Scales of Infant and Toddler Development 4th ed
4

5 CPAP = Continuous Positive Airway Pressure
6

7 LISA = Less Invasive Surfactant Administration
8

9 NCPAP = Nasal Continuous Positive Airway Pressure
10

11 NICU=Neonatal Intensive Care Unit
12

13 NIMV = Nasal Intermittent Minute Ventilation
14

15 PPV = positive pressure ventilation with bag & mask
16

17 RDS= Respiratory Distress Syndrome
18

19 ROP= Retinopathy of Prematurity
20

21 SMBHWN= Sharp Mary Birch Hospital for Women & Newborns
22

23 LLU= Loma Linda University Medical Center
24

25 UCI= University of California Irvine Medical Center
26
27

28 29 30 31 32 **PRINCIPAL INVESTIGATORS**

33 Anup Katheria MD, Sharp Mary Birch Hospital for Women & Newborns, San Diego, CA, USA
34

35 Shandee Hutson MD, Sharp Mary Birch Hospital for Women & Newborns, San Diego, CA, USA
36

37 Andrew Hopper, MD, Loma Linda University Medical Center, Loma Linda, CA, USA
38

39 Anamika Banerji, MD, Loma Linda University Medical Center, Loma Linda, CA, USA
40

41 Cherry Uy MD, University of California Irvine, Irvine, CA, USA
42

43 Neil Finer MD, Sharp Mary Birch Hospital for Women & Newborns, San Diego, CA, USA
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46 47 48 49 **Statistician**

50 Debra Poeltler, PhD, Sharp Mary Birch Hospital for Women & Newborns, San Diego, CA, USA
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FUNDING STATEMENT

A grant to support the CaLI trial has been obtained from Chiesi Farmaceutici, S.p.A and with this financial support, the primary study site maintains ultimate authority overall study activities.

Chiesi Grant #: CRTX-GR-717

COMPETING INTERESTS

The Principal Investigator for the overall trial and each study site declare no financial or other competing interests.

CONTRIBUTORSHIP STATEMENT

FI and AK developed the initial protocol and manuscript. SH, KC, AH, AB, CU, NF, WR helped revise the manuscript and protocol. AM and JS helped develop the dataset and variables for the manuscript.

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CALI Study Randomization Card

Treatment: **LISA & Caffeine**

Subject ID: _____ Site #: _____

Date/time of Randomization: ____/____/____ : ____:____
MM / DD / YYYY HH : MM

PLEASE REFER ON BACK OF CARD FOR LISA PROCEDURAL CHECKLIST

FiO2: _____ CPAP: _____ SpO2: _____ HR: _____ at randomization

1. Caffeine Therapy started in LDR/Resuscitation Rm?	<input type="checkbox"/> Yes <input type="checkbox"/> No
2. Start time of LISA (from Laryngoscopy attempt)	Time: ____:____ HH : MM
3. Duration of Laryngoscopy attempt? (Time of insertion to removal)	1 st _____ seconds 2 nd _____ seconds 3 rd _____ seconds
4. Successful placement of LISA catheter?	<input type="checkbox"/> Yes <input type="checkbox"/> No
5. Total surfactant administered (2.5 mL/kg)	_____ mLs
6. End time of LISA (removal of angiocatheter)	Time: ____:____ HH : MM
7. Surfactant aspirated from stomach or leaked from mouth (failure/regurgitation from trachea)?	<input type="checkbox"/> Yes <input type="checkbox"/> No
8. Amount surfactant aspirated?	_____ mLs
9. Lowest HR during procedure?	_____ Bpm
10. Lowest SpO2 during procedure?	_____ %
11. Interventions?	Notes:

Affix patient label to back of this card

Completed By (Name): _____ Date: ____/____/____ Peer review only - <http://bmjopen.bmj.com/site/about/guidelines.xhtml>

1 **Supplies for LISA procedure:**

2 ○ 16g angiocatheter, measured and marked insertion length with tape or

3 Sharpie, NEEDLE REMOVED

4

5 ○ Laryngoscope size: 00 0

6 ○ Laryngoscope type: Video Conventional

7 ○ Curosurf 2.5 mL/kg/dose in syringe

8 ○ 8 FR feeding tube and compatible syringe

9 ○ 2- 10 mL syringe

10 ○ Blunt plastic needle

11 ○ 7 inch IV small bore extension tubing

12 **PROCEDURE:**

13 ○ At randomization infant will be on CPAP

14 ○ Infant will be positioned in a “sniffing position”

15 ○ An 8 FR orogastric (OG) tube will be placed and gastric contents aspirated.

16 OG tube should remain in place during the LISA procedure

17

18 ○ Ensure adequate CPAP and Vital Signs (VS) stable

19 ○ Place IV for IV Caffeine loading dose

20 ○ Obtain 16 gauge catheter and **remove needle**

21 ○ Measure depth of catheter insertion using clean technique (6 + wt in Kg)

22 mark with a small piece of intubation tape or sharpie

23

24 ○ Provider visualizes vocal cords, inserts & stabilizes angiocatheter

25 ○ RCP attaches 7 inch IV small bore extension tubing to angiocatheter

26 ○ RCP attaches syringe with Curosurf to the extension tubing

27 ○ RCP slowly administers Curosurf over 1-2 minutes (approximately in 3

28 aliquots) while infant is spontaneously breathing on CPAP

29 ○ RCP will flush angiocath with 5 mLs of air to clear surfactant from

30 angiocatheter

31

32 ○ Provider will remove angiocatheter and infant will continue on CPAP

33 therapy

34 ○ Wean FiO2 as tolerated

35

36 **If infant requires intubation within 72 hours, Please complete Intubation**

37 **Card and call Neonatal Research at x6307**

For peer review only

39 Sharp Mary Birch Hospital for Women & Newborns. (2020). CaLI Study Randomization Card. v1.0

40 (Supplemental File 1)

CALI Study Randomization Card

Treatment: **CPAP & Caffeine**

Subject ID: _____

Site #: _____

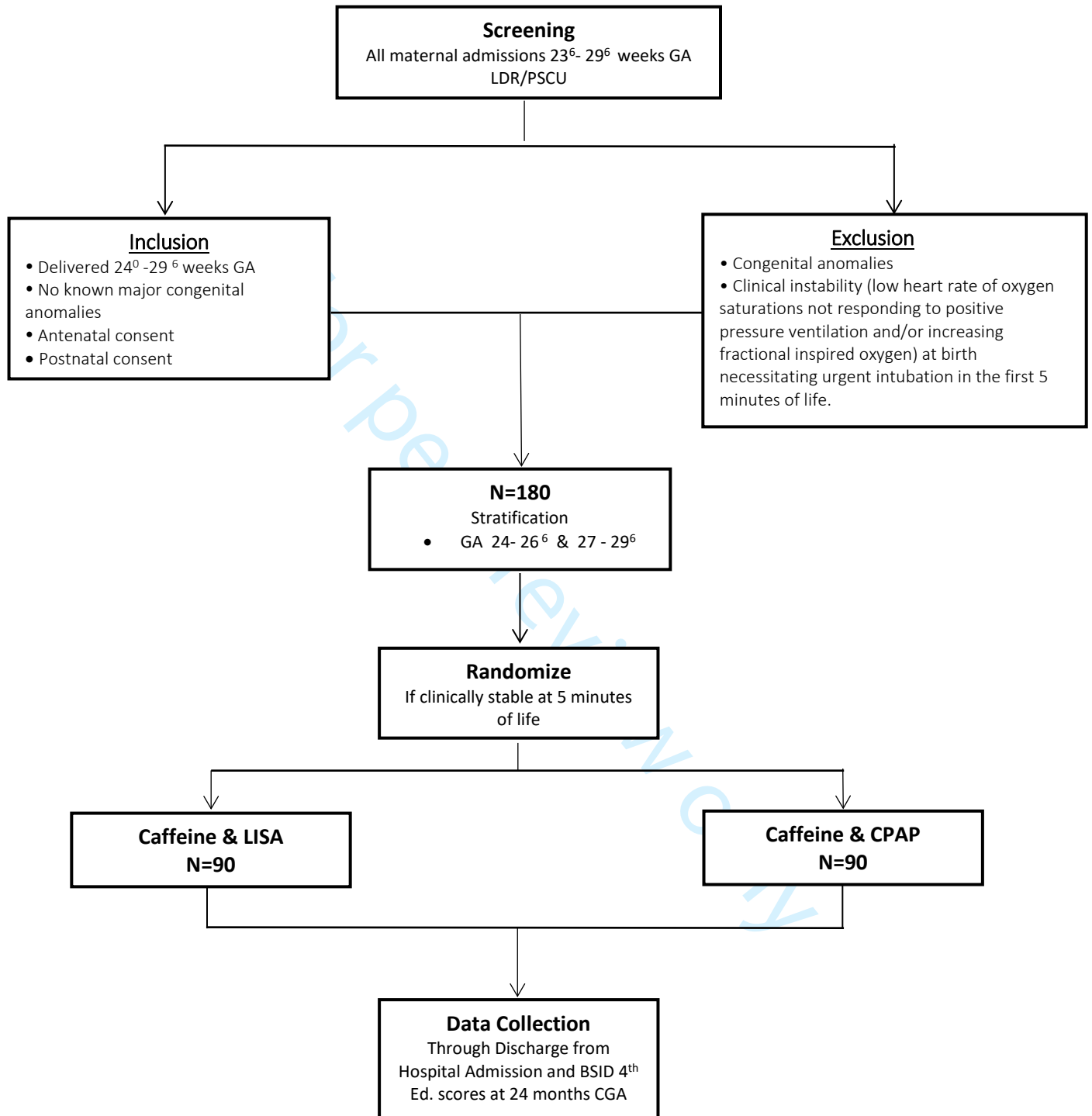
Date/time of Randomization: ____/____/____ : ____
MM / DD / YYYY HH : MM

Complete at time of randomization	
1. CPAP Level?	_____ cmH2O
2. FiO2 requirement?	_____ %
3. Vitals: HR/SpO2	HR: _____ Bpm SpO2 _____ %
4. Caffeine Therapy started in LDR/Resuscitation Rm?	<input type="checkbox"/> Yes <input type="checkbox"/> No
Notes/comments:	
<p>If infant requires intubation within 72 hours of randomization, Please complete Intubation Card and call Neonatal Research at x6307</p>	

Affix patient label to back of this card

Completed By (Name): _____ Date: ____/____/____

CaLI Study Overview Diagram (Supplemental File 4)



INFORMED CONSENT

A Multicenter, Randomized Trial of Preterm Infants receiving **C**affeine and **L**ess **I**nvasive Surfactant Administration Compared to Caffeine and Early Continuous Positive Airway Pressure (CaLI Trial)

IRB #
1911902

Consent Date
06Aug2020 v1.2

Principal Investigator

Anup Katheria, MD
Neonatal Research Institute
SHARP Mary Birch Hospital for Women and Newborns
3003 Health Center Drive, San Diego, CA 92123

Research Grant

Chiesi Farmaceutici S.p.A.

If you are serving as a legally authorized representative, a guardian or are providing parental permission for a child in this study, the terms "you" and "your" refer to the person for whom you are providing consent or parental permission.

CALIFORNIA EXPERIMENTAL SUBJECT’S BILL OF RIGHTS

You have been asked to participate as a subject in an experimental procedure. Before you decide whether you want to participate in the experimental procedure, you have a right to:

1. Be informed of the nature and purpose of the experiment;
2. Be given an explanation of the procedures to be followed in the medical experiment, and any drug or device to be utilized;
3. Be given a description of any discomforts and risks reasonably to be expected from your participation in the experiment;
4. Be given an explanation of any benefits reasonably to be expected from your participation in the experiment;
5. Be given a disclosure of any appropriate alternative procedures, drugs or devices that might be advantageous to you, and their relative risks and benefits;
6. Be informed of the avenues of medical treatment, if any, available to you after the experimental procedure if complications arise;
7. Be given an opportunity to ask any questions concerning the medical experiment or the procedures involved;
8. Be instructed that consent to participate in the experimental procedure may be withdrawn at any time and that you may discontinue participation in the medical experiment without prejudice;
9. Be given a copy of this form and the signed and dated written consent form; and
10. Be given the opportunity to decide to consent or not to consent to the medical experiment without the intervention of any element of force, fraud, deceit, duress, coercion or undue influence on your decision.

I have carefully read the information contained above and I understand fully my rights as a potential subject in a medical experiment involving people as subjects.

Signature of Parent or Legally Authorized Representative	Printed Name	Date
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PARTICIPATION IN A RESEARCH STUDY

This is a research study. The purpose of a research study is to answer scientific questions. We are asking for your permission to have your baby participate in a research study so that we can learn new information that may help others in the future. Research is not the same as routine treatment or medical care.

Your participation is voluntary. You do not have to allow your baby to be in this study. You are free to say yes or no, or to allow your baby to drop out after joining. If you decide not to participate there is no penalty or loss of benefits. Whatever you decide, your baby's regular medical care will not change.

This process is known as the informed consent process. It is important that you read this consent form and ask the study doctor any questions you may have. Please take your time to make your choice. Discuss it with your friends and family.

WHY ARE YOU BEING ASKED TO TAKE PART IN THIS STUDY?

Your baby has been chosen because he/she may be born prematurely with immature lungs and a lack of natural lung surfactant, a fluid that coats the lungs and help them remain open. Due to this condition, your baby may not breathe well at birth or in the first days after birth and may benefit from receiving surfactant medicine or continuous airway pressure to help your baby's lungs remain open and improve oxygenation. Both Surfactant administration and continuous positive airway pressure (CPAP) are currently standard treatments for premature infants that need respiratory support after delivery.

Surfactant administration traditionally involves inserting a breathing tube in your baby's airway (intubation) and placing them on a breathing machine for respiratory support. Continuing on a breathing machine for a long period of time increases your baby's chance of developing bronchopulmonary dysplasia (BPD), a chronic lung disease of the neonate. Delivery room resuscitation of very premature infants has evolved dramatically over the past decades. Optimizing the care of these newborns now involves early continuous positive airway pressure (CPAP) and the avoidance of mechanical ventilation. However, mechanical ventilation is still often used when administering surfactant as the need arises.

The LISA method (Less Invasive Surfactant Administration) is another method that involves using a small catheter to administer surfactant directly into a baby's lungs. It also involves administering a precautionary dose of surfactant, compared to the traditional method which only administers doses of surfactant as needed using the breathing tube. A recent study in Europe showed that the Less Invasive Surfactant Administration (LISA) method had the lowest risk for the development of bronchopulmonary dysplasia (BPD) when compared to mechanical ventilation. Despite these results showing it decreased the need for mechanical ventilation compared to CPAP alone, there have been no studies done in the United States and the use of the LISA method is still not widely accepted.

We are conducting this study to find out if infants that receive surfactant by the LISA method (study method) compared to early CPAP and mechanical ventilation (standard method) require less intubation and less days on respiratory support.

HOW MANY PEOPLE WILL TAKE PART IN THIS STUDY?

Approximately 180 babies will take part in the study. We will enroll 120 babies at Sharp Mary Birch Hospital for Women & Newborns, 30 babies at Loma Linda University Medical Center, and 30 babies at University of California Irvine Medical Center.

HOW LONG WILL YOU BE IN THE STUDY?

Your baby will be in this study from birth through 2 years of age. We will also collect information about your baby from the 2-year follow-up visit described below.

WHAT IS INVOLVED IN THIS STUDY?

We are asking for your permission to have your baby be in a research study so that we can learn new information that may help other babies.

If you decide to let your baby take part in the current research study and your baby needs support with breathing, your baby will be given CPAP through the nose. If your baby's breathing remains stable, he/she will be randomized (meaning based on chance, like flipping a coin) to either continuing on CPAP or being given a medicine called surfactant. The surfactant medicine is a small volume of liquid that will be placed directly into your baby's lungs using a small catheter (a small flexible tube). This is called the LISA method. This medication helps keep your baby's lung inflated and improves oxygenation.

Your baby will have a 50/50 chance of being placed in either group (CPAP or LISA). After your baby is placed on CPAP or given surfactant, he/she will be carefully monitored.

In either case if your baby needs more help with breathing, your baby's doctor will decide the best way to help support your baby's breathing which may include placement of an endotracheal tube into your baby's airway.

In some cases, your baby may require additional surfactant, if they are not breathing well or continue to need increased support such as additional oxygen. If your baby is in the CPAP group and becomes unwell in this study, your baby's doctor may decide to provide an initial dose of surfactant, and maybe more doses, as needed. This would require insertion of a regular endotracheal breathing tube (if not already placed), which is the current standard practice for providing surfactant.

If your baby is in the LISA group and becomes unwell in this study, your baby's doctor may decide to provide additional doses of surfactant as needed. This will be done by insertion of a regular endotracheal tube.

The procedures of the study are described below. The decision for treatment will be made at the first 5 minutes after your baby's birth.

- The doctor will evaluate your baby's condition at birth. If your doctor determines that your baby needs immediate placement of an endotracheal tube to assist breathing, your baby will not be in the study. Babies who are intubated at birth will not be in the study.
- If your baby is stable and breathing on his/her own with CPAP, he/she will be randomized to either the LISA group with CPAP or CPAP alone. This is done by selecting an envelope which contains a card telling the team which treatment the baby will receive.

During the NICU hospitalization, your baby will be continuously monitored to check the health of your baby's heart, brain and lungs and overall condition. This is normally part of the standard care for preterm babies.

OUTPATIENT FOLLOW-UP

All premature babies are evaluated periodically (at 6 months, then once a year) as part of routine care at the Nemeth NICU Follow-up Clinic during the first 2 years of life. At these visits, the doctors and nurses who work at the clinic will check your baby's health and development. At every visit, they will ask questions about your living arrangements and your baby's medical condition. They will evaluate your baby's development using toys and items that are part of a developmental test. They will do a physical exam and check your baby's muscle strength and reflexes (neurologic exam).

WHAT IS THE RESEARCH PART OF OUTPATIENT FOLLOW-UP?

The research visit is between 22-26 months corrected age (2 years from your baby's original due date). At this visit, the doctors and nurses will do everything listed above that is routine for your infant given their prematurity. The results of the routine evaluation will be obtained as part of our data collection. We will use a study number, not your child's name to ensure confidentiality and anonymity of your medical information.

After that, your baby's involvement will be completed and there are no further study requirements for your baby.

WHAT ARE THE RISKS OF THE STUDY?

Both methods of administering surfactant either by the LISA method or the endotracheal tube are practiced in our NICU. The surfactant used in this trial is our current standard surfactant.

You should note:

- Infants randomized to the LISA group could receive an extra dose of surfactant when they otherwise might not have if they were not part of the study.
- Infants randomized to the CPAP group may receive mechanical ventilation that they otherwise might not have if they were not part of the study
- The catheter used in the LISA method is being used off-label, meaning it is used in a way that is different from the FDA's approved packaging label. It is used intratracheally (into the trachea) rather than intravenously (into the vein).

Risks of surfactant include:

- Low blood oxygen level
- Slow heart rate
- Low blood pressure

Risks of Intra-tracheal catheter:

- There may be risks that are unknown at this time

Risks of mechanical ventilation include:

- Volutrauma- over expansion of the lungs by delivery of too much gas
- Pneumothorax- is a collapsed lung
- Pneumonia- lung infection
- Development of Bronchopulmonary Dysplasia (BPD)- a chronic lung disease that affects premature infants

Based on the current literature to date, there are no increased risks with less invasive administration of surfactant with a small catheter (i.e. the LISA method) compared to endotracheal administration of surfactant in several large European trials. All risks with conducting this study are associated with prematurity including severe IVH, death, retinopathy of prematurity, chronic lung disease and other lung problems such as possible air leaks. There should be no more risks for babies in this study than are possible for any Extreme Low Birth Weight (ELBW) baby needing surfactant therapy. However, as with all research, there may be risks that are unknown at this time.

ARE THERE BENEFITS TO TAKING PART IN THIS STUDY?

There may or may not be direct benefits to your baby for participating in this study. We hope the information we learn will help babies with respiratory distress syndrome in the future.

WHAT OTHER OPTIONS ARE THERE?

Your baby's alternative is to not participate in this study and receive treatment of Respiratory Distress Syndrome as prescribed by your personal physician. Your doctor will discuss these alternative treatments with you as well as their benefits and risks.

WILL YOU OR YOUR CHILD BE PAID TO BE IN THIS STUDY?

You and your child will not be paid to be in this study. No additional compensation is available for participation in this study.

WHAT ARE THE COSTS?

The study drug, Curosurf, will be provided for you at no cost by the study sponsor.

There are no additional costs to be in this study. You and/or your health plan/insurance company are responsible for the cost of your baby's hospitalization and standard clinical care provided. You will be responsible for co-pays and deductibles in the same way as outside of a clinical trial.

1
2 For more information about your costs, please discuss with the hospital's billing department, or
3 call your health plan/insurance company to find out your financial responsibility for this trial.
4

5 **RESEARCH-RELATED INJURY**

6

7
8 If your baby gets sick or injured in this study, please tell your study doctor. Your baby will be
9 treated or referred for medical treatment. You or your insurance will be responsible for the cost
10 of treatment.
11

12 Sharp HealthCare will not provide any compensation for treatment of research related injury or
13 illness.
14

15 **PAYMENT TO STUDY SITE**

16

17
18 CHIESI has provided a grant to Sharp Mary Birch Hospital for Women & Newborns to reimburse
19 the study site for expenses related to the conduct of this study. This includes providing the
20 Surfactant medication your baby may receive while in the study.
21

22 **NEW INFORMATION**

23

24
25 You will be told if any important new information is found during the course of this study that
26 may affect your wanting to continue. If you decide to continue in the study, your study doctor
27 may ask you to sign an updated consent form.
28

29 **WHAT ABOUT CONFIDENTIALITY?**

30

31
32 Efforts will be made to keep your personal information confidential. We cannot guarantee
33 absolute confidentiality. Your personal information may be disclosed if required by law.
34 Organizations or individuals that may inspect and/or copy your medical and/or research records
35 for quality assurance and data analysis include groups such as:

- 36 • Study Doctor and Research Staff at the Neonatal Research Institute
 - 37 • Sharp HealthCare Institutional Review Board (IRB, a group of people who review the
38 research to protect your rights)
 - 39 • The Food & Drug Administration (FDA)
- 40
41

42
43 Your information will be coded and stored anonymously in a database with information about
44 other people in this study. Access to this database is limited to the research staff.
45 Under California law, we must report information about known or reasonably suspected
46 incidents of abuse or neglect of a child including physical, sexual, emotional, and financial abuse
47 or neglect. If any investigator has or is given such information, he or she may be required to
48 report such information to the appropriate authorities.
49

50
51 As part of this research study you will be asked to sign an additional document,
52 Authorization to use Protected Health Information (PHI). This authorization will explain in
53 further detail how your and your baby's PHI will be used and shared in the study, who will
54 have access to it, what information will be obtained, and how long Sharp HealthCare will
55 use your information. It will also explain what to do if you decide you no longer want to
56 share your PHI, and your rights regarding your ability to see and copy your research
57 information.
58

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60



If the results of this study are published or presented at meetings, your identity will remain confidential.

WHAT ARE YOUR RIGHTS AS A PARTICIPANT?

Participating in this study is entirely voluntary. You may refuse to allow your baby to participate or withdraw your baby at any time without penalty or loss of benefits to which you or your baby are entitled. If you decide that you no longer want your baby to continue in this study, we encourage you to talk to the study doctor. Please contact Dr. Katheria to tell him you no longer want to participate:

Dr. Anup Katheria
(858) 939-4170
Anup.katheria@sharp.com

If you decide to remove your baby from the study, the study team may ask your permission to keep your baby's test results and information that has already been collected.

WHOM DO YOU CALL IF YOU HAVE ANY PROBLEMS, COMPLAINTS, CONCERNS, OR QUESTIONS?

If you have problems, complaints, concerns, or questions about this study, you may talk to your study doctor anytime.

If you have questions about:	Call:
This study (including complaints and requests for information)	858-939-4170 Dr. Anup Katheria 858-939-6307 Neonatal Research Institute
If you get sick or hurt in this study	858-939-4170 Dr. Anup Katheria
Your rights as a research participant and:	Sharp HealthCare Institutional Review Board 7930 Frost Street, Suite 300 San Diego, CA 92123 (858) 939-7195
<ul style="list-style-type: none"> • Discuss problems, concerns, and questions • Obtain information 	

WHERE CAN YOU GET MORE INFORMATION?

A description of this clinical trial is available on <http://www.ClinicalTrials.gov>, as required by U.S. law. This web site will not include information that can identify you or other participants. At most, the web site will include a summary of the results. You can search the web site at any time. The registration identifier for this study is NCT#04209946.

STATEMENT OF CONSENT

Your signature below means that you have read the above information about this study and have had a chance to ask questions to help you carefully consider whether you agree to have your child take part in this study and how your and your child’s information will be used.

You can change your mind later if you want to. You will be given a copy of this consent form including a copy of the Subject’s Bill of Rights. By signing this consent form you are not giving up any of your or your child’s legal rights.

You agree to participate in this research study.

Printed Name of Participant (Baby)

SIGNATURE OF PARENT OR LEGALLY AUTHORIZED REPRESENTATIVE	PRINTED NAME	DATE
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AUTHORITY OF SIGNED OR RELATIONSHIP TO PARTICIPANT

SIGNATURE OF PRINCIPAL INVESTIGATOR/DESIGNEE	PRINTED NAME	DATE
---	---------------------	-------------

----- **USE THE FOLLOWING ONLY IF APPLICABLE** -----

If this consent form is read to the participant because the participant is unable to read the form, an impartial witness not affiliated with the research or study doctor must be present for the consent and sign the following statement:

I confirm that the information in the consent form and any other written information was accurately explained to, and apparently understood by, the participant. The participant freely consented to be in the research study.

PRINTED NAME OF IMPARTIAL WITNESS

SIGNATURE OF IMPARTIAL WITNESS	DATE	TIME
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NOTE: *This signature block cannot be used for translations into another language. A translated consent form is necessary for enrolling participants who do not speak English.*



Authorization to Use your Protected Health Information (PHI)

Study Title: A Multicenter, Randomized Trial of Preterm Infants receiving **C**affeine and **L**ess **I**nvasive Surfactant Administration Compared to Caffeine and Early Continuous Positive Airway Pressure (CaLI Trial)

Investigator: Anup Katheria, MD
Neonatal Research Institute
Sharp Mary Birch Hospital for Women & Newborns

Research Grant: Chiesi Farmaceutici S.p.A

Protected Health Information, or PHI, is any personal health information through which you or your baby can be identified. We are asking for your permission to use your baby's PHI in this research study. The information we may use includes maternal (prenatal) data from your baby's record, your baby's present health information, information that can be used to contact you, and results of your and your baby's medical tests. Maternal data will be collected from your baby's medical record; your medical record will be accessed for study purposes. The specific items of information that will be used and disclosed include:

- Maternal (prenatal) information related to the health of your baby, including:
 - Information about mother's pregnancy
 - Fetal History
 - Pregnancy complications
 - Medications for mother
 - Delivery record
- Information from your baby's medical record, including:
 - Medications for baby
 - Results of lab tests
 - Blood gases
 - Respiratory management

- Vital signs
- Diagnoses

The following people will access and use your baby's PHI for the purpose of this research:

- Dr. Anup Katheria, Primary Investigator, Sharp Mary Birch Hospital for Women & Newborns
- Sharp Mary Birch Hospital Neonatologists
- Research Staff at Sharp Mary Birch Hospital for Women & Newborns

Who may see your PHI?

Certain offices and people other than the researchers may look at your medical charts and study records. There may be times when federal or state law requires the sharing of such records. This is very unlikely, but if sharing the information is ever required, Sharp Mary Birch Hospital for Women & Newborns will take steps allowable by law to protect the confidentiality of personal information. If this information is shared with outside reviewers for audit purposes, it may be further shared by them and may not be covered by the federal privacy laws.

Representatives that may review your study records:

- the Sharp HealthCare Institutional Review Board (IRB; a group of people that review the research to protect the rights of research participants)
- the US Food and Drug Administration

How long will the Neonatal Research Institute use your information, and what will it be used for?

- Your and your baby's PHI may be used and shared until December 31, 2044.

The groups above will use your health information:

- To complete this research
- To evaluate the results of the study
- To check that the study is being done properly

What if you change your mind and want to withdraw your authorization for the use and disclosure of your PHI for this study?

You must write to the study doctor and tell him that you no longer want to share your child’s information at: Anup Katheria, MD. Neonatal Research Institute, Sharp Mary Birch Hospital for Women & Newborns, 3003 Health Center Drive, San Diego, CA 92123.

- Your baby will no longer be a part of the research study because the study doctor, and the research staff will not be able to use any new information about your baby.
- The research team can continue to use any of the PHI that was already collected.
- You and your baby will still get the same medical care that you have always had from Sharp Mary Birch Hospital for Women & Newborns.

Do you have the right to see and receive a copy of your research information?

You can see your research information if:

- It is also being used for your and your baby’s current treatment, or
- At the end of the study.

Authorization:

If you agree to share your and your baby’s PHI, you must sign this form below. If you do not sign this form, you and your baby will not be able to participate in this research study. You will be given a copy of this form.

Printed Names of Mother and Baby

_____ Signature of Mother or Legally Authorized Representative	_____ Printed Name	_____ Date
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_____ Signature of Father	_____ Printed Name	_____ Date
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Authority of Signee or Relationship to Participant





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

Section/item	Item No	Description
Administrative information		
Title	1	Descriptive title identifying the study design, population, interventions, and, if applicable, trial acronym
Trial registration	2a	Trial identifier and registry name. If not yet registered, name of intended registry
	2b	All items from the World Health Organization Trial Registration Data Set
Protocol version	3	Date and version identifier
Funding	4	Sources and types of financial, material, and other support
Roles and responsibilities	5a	Names, affiliations, and roles of protocol contributors
	5b	Name and contact information for the trial sponsor
	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
	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)
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
	6b	Explanation for choice of comparators
Objectives	7	Specific objectives or hypotheses
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)

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
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)
Interventions	11a	Interventions for each group with sufficient detail to allow replication, including how and when they will be administered
	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)
	11c	Strategies to improve adherence to intervention protocols, and any procedures for monitoring adherence (eg, drug tablet return, laboratory tests)
	11d	Relevant concomitant care and interventions that are permitted or prohibited during the trial
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
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)
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
Recruitment	15	Strategies for achieving adequate participant enrolment to reach target sample size

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
---------------------	-----	--

1			
2	Allocation	16b	Mechanism of implementing the allocation sequence (eg, central
3	concealment		telephone; sequentially numbered, opaque, sealed envelopes),
4	mechanism		describing any steps to conceal the sequence until interventions are
5			assigned
6			
7	Implementation	16c	Who will generate the allocation sequence, who will enrol participants,
8			and who will assign participants to interventions
9			
10	Blinding	17a	Who will be blinded after assignment to interventions (eg, trial
11	(masking)		participants, care providers, outcome assessors, data analysts), and
12			how
13		17b	If blinded, circumstances under which unblinding is permissible, and
14			procedure for revealing a participant's allocated intervention during
15			the trial
16			
17			
18			
19			

Methods: Data collection, management, and analysis

20			
21	Data collection	18a	Plans for assessment and collection of outcome, baseline, and other
22	methods		trial data, including any related processes to promote data quality (eg,
23			duplicate measurements, training of assessors) and a description of
24			study instruments (eg, questionnaires, laboratory tests) along with
25			their reliability and validity, if known. Reference to where data
26			collection forms can be found, if not in the protocol
27		18b	Plans to promote participant retention and complete follow-up,
28			including list of any outcome data to be collected for participants who
29			discontinue or deviate from intervention protocols
30			
31	Data	19	Plans for data entry, coding, security, and storage, including any
32	management		related processes to promote data quality (eg, double data entry;
33			range checks for data values). Reference to where details of data
34			management procedures can be found, if not in the protocol
35			
36	Statistical	20a	Statistical methods for analysing primary and secondary outcomes.
37	methods		Reference to where other details of the statistical analysis plan can be
38			found, if not in the protocol
39		20b	Methods for any additional analyses (eg, subgroup and adjusted
40			analyses)
41		20c	Definition of analysis population relating to protocol non-adherence
42			(eg, as randomised analysis), and any statistical methods to handle
43			missing data (eg, multiple imputation)
44			
45			
46			
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51			

Methods: Monitoring

52			
53	Data monitoring	21a	Composition of data monitoring committee (DMC); summary of its role
54			and reporting structure; statement of whether it is independent from
55			the sponsor and competing interests; and reference to where further
56			details about its charter can be found, if not in the protocol.
57			Alternatively, an explanation of why a DMC is not needed
58			
59			
60			

1		21b	Description of any interim analyses and stopping guidelines, including
2			who will have access to these interim results and make the final
3			decision to terminate the trial
4			
5			
6	Harms	22	Plans for collecting, assessing, reporting, and managing solicited and
7			spontaneously reported adverse events and other unintended effects
8			of trial interventions or trial conduct
9			
10			
11	Auditing	23	Frequency and procedures for auditing trial conduct, if any, and
12			whether the process will be independent from investigators and the
13			sponsor
14			

Ethics and dissemination

15			
16			
17	Research ethics	24	Plans for seeking research ethics committee/institutional review board
18	approval		(REC/IRB) approval
19			
20			
21	Protocol	25	Plans for communicating important protocol modifications (eg,
22	amendments		changes to eligibility criteria, outcomes, analyses) to relevant parties
23			(eg, investigators, REC/IRBs, trial participants, trial registries, journals,
24			regulators)
25			
26	Consent or assent	26a	Who will obtain informed consent or assent from potential trial
27			participants or authorised surrogates, and how (see Item 32)
28			
29		26b	Additional consent provisions for collection and use of participant data
30			and biological specimens in ancillary studies, if applicable
31			
32			
33	Confidentiality	27	How personal information about potential and enrolled participants will
34			be collected, shared, and maintained in order to protect confidentiality
35			before, during, and after the trial
36			
37	Declaration of	28	Financial and other competing interests for principal investigators for
38	interests		the overall trial and each study site
39			
40			
41	Access to data	29	Statement of who will have access to the final trial dataset, and
42			disclosure of contractual agreements that limit such access for
43			investigators
44			
45	Ancillary and	30	Provisions, if any, for ancillary and post-trial care, and for
46	post-trial care		compensation to those who suffer harm from trial participation
47			
48	Dissemination	31a	Plans for investigators and sponsor to communicate trial results to
49	policy		participants, healthcare professionals, the public, and other relevant
50			groups (eg, via publication, reporting in results databases, or other
51			data sharing arrangements), including any publication restrictions
52			
53		31b	Authorship eligibility guidelines and any intended use of professional
54			writers
55			
56			
57		31c	Plans, if any, for granting public access to the full protocol, participant-
58			level dataset, and statistical code
59			
60			

Appendices

Informed consent materials	32	Model consent form and other related documentation given to participants and authorised surrogates
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

*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](#)" license.

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BMJ Open

A Multicenter, Randomized Trial of Preterm Infants receiving Caffeine and Less Invasive Surfactant Administration Compared to Caffeine and Early Continuous Positive Airway Pressure (CaLI Trial): Study Protocol

Journal:	<i>BMJ Open</i>
Manuscript ID	bmjopen-2020-038343.R3
Article Type:	Protocol
Date Submitted by the Author:	23-Dec-2020
Complete List of Authors:	Ines, Felix; Sharp Mary Birch Hospital for Women and Newborns, Neonatal Research Institute Hutson, Shandee; Sharp Mary Birch Hospital for Women and Newborns Coughlin, Katherine; Sharp Mary Birch Hospital for Women and Newborns Hopper, Andrew; Loma Linda University Medical Center Banerji, Anamika; Loma Linda University Medical Center Uy, Cherry; University of California Irvine Finer, Neil; University of California San Diego Rich, Wade; Sharp Mary Birch Hospital for Women and Newborns Morales, Ana; Sharp Mary Birch Hospital for Women and Newborns Steen, Jane; Sharp Mary Birch Hospital for Women and Newborns Katheria, Anup; Sharp Mary Birch Hospital for Women and Newborns, Neonatology
Primary Subject Heading:	Paediatrics
Secondary Subject Heading:	Paediatrics
Keywords:	Neonatal intensive & critical care < INTENSIVE & CRITICAL CARE, NEONATOLOGY, RESPIRATORY MEDICINE (see Thoracic Medicine)

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3 **A Multicenter, Randomized Trial of Preterm Infants receiving Caffeine and Less Invasive**
4 **Surfactant Administration Compared to Caffeine and Early Continuous Positive Airway**
5 **Pressure (CaLI Trial): Study Protocol**
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10 Felix Ines, Shandee Hutson, Katherine Coughlin, Andrew Hopper, Anamika Banerji, Cherry Uy,
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ABSTRACT

Introduction: Respiratory Distress Syndrome (RDS) or surfactant deficiency occurs primarily in premature infants resulting in composite outcomes of death or bronchopulmonary dysplasia.

Initial management strategies for preterm infants with RDS includes early initiation of continuous positive airway pressure (CPAP) and titration of FiO_2 , and may include the use of less invasive surfactant administration (LISA) to avoid the need for mechanical ventilation. In order to optimize success of non-invasive support, the use of early caffeine therapy may be critical to the success of LISA. The objective of our trial is to evaluate whether of infants that receive early caffeine, CPAP, and surfactant via the LISA method compared to infants that receive caffeine and CPAP alone, have a decreased need for invasive mechanical ventilation in the first 72 hours of life.

Methods and analysis: CaLI is an unblinded multicenter, randomized controlled, trial of 180 preterm infants (24+0 – 29+6 weeks CGA). Criteria for intubation/treatment failure will be recent guidelines for the management of RDS, including: 1) CPAP level of 6-8 cmH₂O and FiO_2 >0.40 required to maintain saturations 90%-95% for 2 hours after randomization; 2) a pH of 7.15 or less or a paCO_2 >65 mmHg on any (2) blood gases (arterial/capillary/or venous) at least 2 hours after randomization and in the first 72 hours of life; 3) continued Apnea/Bradycardia/Desaturation events despite nasal intermittent minute ventilation (NIMV) mode of ventilation.

Infants w will be randomized by 1 hour of life and Caffeine/Lisa treatments by by 2 hours of life. Caffeine will be administered soon after randomization in both arms, prior to surfactant in the LISA arm and before 2 hours of life in the control arm.

Ethics and Dissemination: Chiesi Farmaceutici, S.p.A is the sponsor of CaLI. Ethical approval has been obtained. Results will be submitted for publication in peer reviewed journals.

Clinical Trial Registration: www.Clinicaltrials.gov: NCT04209946

STRENGTHS AND LIMITATIONS OF THIS TRIAL ARE:

- Limited power for longer term outcomes such as BPD and neurodevelopmental impairment due its smaller size
- CaLI is not a double blind trial due to the complexity of blinding treatments in the delivery room with different modes of administration and the need to initial the trial very rapidly after birth.
- The trial is the first to be prescriptive in the use of caffeine as a co-intervention for LISA administration to test its benefit
- This study will be the most recent in many years to re-study the use of early surfactant with the LISA method compared to expectant management with CPAP alone.

INTRODUCTION

Premature infants are commonly born with respiratory distress syndrome (RDS) or surfactant deficiency that may lead into respiratory failure. Advances in respiratory management includes, early initiation of continuous positive airway pressure (CPAP) and titration of FiO₂,¹ modifications in the administration of surfactant therapy using less invasive techniques, and the avoidance of mechanical ventilation.² Other strategies to optimize success of non-invasive support involves the use of caffeine therapy to serve as a respiratory stimulant. Dekker et al

1
2
3 demonstrated that the administration of caffeine in the delivery room compared to upon
4 admission to the NICU produced greater minute ventilation and tidal volumes in premature
5 infants <30 weeks.³ The less invasive surfactant administration (LISA) to spontaneously
6 breathing preterm infants has been reported to reduce the need for mechanical ventilation.⁴ A
7 recent meta-analysis of non-invasive ventilation strategies demonstrated that Less Invasive
8 Surfactant Administration (LISA) had the lowest odd ratio (OR, 0.49; 95% CI 0.3-0.79) for the
9 development of the composite outcome of death or bronchopulmonary dysplasia amongst non-
10 invasive ventilation strategies compared to invasive mechanical ventilation.⁵ The combination of
11 early Caffeine and LISA has not been tested and despite these results and studies showing it
12 decreased the need for invasive mechanical ventilation compared to Continuous Positive Airway
13 Pressure, the use of the LISA method in the United States and countries such as England.^{6,7}

30 **METHODS AND ANALYSIS**

31
32 The study is designed as a multicenter, un-blinded, randomized trial of preterm infants receiving
33 Caffeine and Less Invasive Surfactant Administration compared to Caffeine and CPAP with a
34 primary outcome of frequency of subject endotracheal intubation between the two groups
35 (Caffeine and LISA vs Caffeine and CPAP) within the first 72 hours of life. The study will be
36 conducted at 3 sites in the United States (Loma Linda University Medical Center, University of
37 California, Irvine, and Sharp Mary Birch Hospital for Women & Newborns) over a 3 year
38 period. The following variables will be collected:

- 39 1. Frequency of subjects requiring endotracheal intubation between the two groups (LISA
40 vs CPAP) in the first 72 hours of life
- 41 2. Duration of mechanical ventilation and/or CPAP
- 42 3. Requirement of supplemental oxygen at 36 weeks corrected age

- 1
- 2
- 3 4. Grade III and IV intraventricular hemorrhage
- 4
- 5 5. Spontaneous intestinal perforation
- 6
- 7 6. Necrotizing Enterocolitis
- 8
- 9
- 10 7. Retinopathy of prematurity requiring surgery
- 11
- 12 8. Need for repeat surfactant dosing
- 13
- 14 9. Long term neurodevelopmental data through 2 years of age.
- 15

16 Pregnant women will be identified and screened from the labor and delivery floor (LD) or
17 perinatal special care unit (PSCU) at each site. Parents will be approached and consented prior to
18 delivery. In the delivery room, after the infant's first five minutes of life, the research staff or
19 neonatal delivery team will open the randomization envelope for the proper gestational age (GA)
20 group. Multiples will be randomized to the same treatment group for ease of consent and family
21 considerations. There is no crossover allowed between the LISA and CPAP groups, subjects
22 should receive their randomized treatment. If the physician determines that the infant requires
23 intubation or is determined to be unstable within the first five minutes of life, the infant will be
24 intubated and excluded from the study.

25 26 27 28 29 30 31 32 33 34 35 36 37 38 **Inclusion Criteria:**

- 39
- 40 • Premature infants born at 24-29+6 weeks gestational age
- 41
- 42 • Informed consent obtained (antenatal)
- 43
- 44 • Infant is spontaneously breathing on CPAP of 5-8 cmH₂O with an FiO₂ of <.40 and
- 45 maintains a normal heart rate (HR>100 Bpm)
- 46
- 47
- 48
- 49

50 **Exclusion Criteria:**

- 51
- 52 • Declined consent
- 53
- 54 • Infants with known congenital anomalies
- 55
- 56
- 57

- Requiring intubation in the delivery room

All infants found to have anomalies post-randomization will be analyzed by intent to treat principle.

Patient Allocation: Randomization cards are computer-generated by Sharp Mary Birch Hospital for Women & Newborns and will solely be known by the data manager. Each randomization card contains group assignment, real-time data information, and a randomization number, sealed in an opaque envelope with a label that indicates the envelope sequence number, site (facility) number, and stratification by gestational age. These envelopes will be logged by the data manager in a secured data file and then distributed to each research facility. We will enroll 180 preterm infants and will stratify by gestational age (24-26+6 weeks and 27+0-29+6 weeks), labeled as such on each opaque envelope.

Randomization:

In order to allow for initial stabilization on CPAP, infants will be randomized by 1 hour of life. If the providers have not intubated or plan to intubate the infant in the delivery room, consented infants that are assessed by a provider as clinically stable (i.e. HR >100 bpm) and spontaneously breathing on CPAP (5-8 cm H₂O) will be randomized. Stabilization of premature infants at delivery may include stimulation, positive pressure ventilation or CPAP. Only spontaneously breathing infants on CPAP, maintaining normal heart rate and saturations will be included and randomized. When the neonatal provider assesses the infant to be stable on CPAP, a member of the research or neonatal team will pull a randomization card according to the infant's corrected gestational age. Once the treatment group is identified (Caffeine and LISA or Caffeine and CPAP), intervention will immediately commence.

LISA Group:

For infants randomized to LISA, an intravenous access will be established to administer caffeine.

We will have an orogastric tube placed into the stomach prior to laryngoscopy and the contents aspirated before and after the procedure to document any esophageal surfactant administration.

Thereafter, a thin catheter (16G angiocatheter) will be measured and the depth of insertion will be marked with intubation tape. The thin catheter will then be placed in the trachea under direct or video-laryngoscopy by a neonatal practitioner. After the catheter is placed, the laryngoscope will be removed, the angiocatheter held securely in place, and the infant allowed to spontaneously breathe on CPAP. Surfactant (Curosurf 2.5 mL/kg, based on estimated fetal weight) will be slowly administered over 1-2 minutes (approximately in 3 aliquots) assuring synchronized instillation with infant's breathing pattern while on CPAP. After instillation, the catheter will be immediately removed and CPAP will continue. If apnea occurs during or after the procedure, positive pressure ventilation will be initiated. To improve adherence to protocol interventions, all sites have agreed on using senior level physicians or neonatal practitioners that have prior experience with the LISA method.

Data collection in the LISA group is collected using the Caffeine and LISA Randomization card. (Supplemental file 1)

CPAP Group:

In adherence to protocol interventions, infants randomized to early CPAP will be managed according to sub-site unit practice for preterm infants on CPAP. If randomized to the CPAP group, an intravenous access will be established to administer caffeine and the infant will continue on CPAP unless infant meets failure criteria and requires intubation.

1
2
3 Data collection in the CPAP group is collected using the Caffeine and CPAP Randomization
4 card (Supplemental file 2)

5
6
7 **Caffeine:**

8
9 Caffeine will be given in both groups as soon as IV access is obtained. Since caffeine must be
10 given prior to the LISA procedure it must be given as early as possible but 2 hours of birth.

11
12 Similarly, if randomized to CPAP, caffeine will be given soon after birth. If infants in the CPAP
13 group meet intubation criteria, and the loading dose of caffeine has not been administered, to
14 avoid any delay in intubation, caffeine will be given no later than thirty minutes after intubation.

15
16 The caffeine preparation for this study is caffeine citrate with a loading dose of 20 mg/kg given
17 via an intravenous access over 15-30 minutes. Time of caffeine administration will be captured
18 in subject's Electronic Medical Records (EMR).

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29 **Blinding:**

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31 Due to the nature of the intervention neither participants nor staff can be blinded to allocation,
32 but are strongly encouraged not to disclose the allocation status of the participant at the follow up
33 assessments.

34
35 As a pragmatic design we realize that a separate research team would not always be able to be
36 present for the randomization and intervention. Therefore, the clinical team caring for the infant
37 will follow strict guidelines for intubation and management of infants to reduce any post-
38 randomization bias (see below)

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51 **Intubation criteria:**

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53 As an un-blinded trial, it is critical that both groups are standardized to avoid bias towards one
54 arm for mechanical ventilation/treatment failure. Therefore, strict delivery room/ NICU criteria

1
2
3 will be used. Furthermore, infants cannot be randomized before 5 minutes of life to ensure that
4
5 unstable infants that cannot be transitioned on CPAP would not be included. These would
6
7 include infants that need intubation as specified in the Neonatal Resuscitation Program (NRP)
8
9 guidelines and such as: **1)** when chest compressions are needed; **2)** ineffective ventilation
10
11 (inability to obtain good chest rise and fall despite implementation of the corrective ventilation
12
13 steps: Mask adjustment; Reposition airway [try again]; Suction mouth and nose; Open mouth
14
15 [try again]; Pressure increase [up to 40 cm H₂O pressure]; Airway alternative; (MRSOPA), as
16
17 indicated by the NRP guidelines to obtain effective ventilation); **3)** prolonged PPV (infants
18
19 requiring positive pressure ventilation for more than 2 minutes in order to maintain HR >100
20
21 BpM); or **4)** prolonged hypoxia (pre-ductal SpO₂ is not met despite 100% oxygen supplements
22
23 and resuscitation interventions). Randomization should be delayed until the providers are
24
25 comfortable that none of these criteria are met in order to avoid any early selection bias.
26
27

28
29
30 After stabilization on CPAP infants can be randomized. Criteria for intubation/treatment failure
31
32 will be recent guidelines for the management of RDS,¹ including: 1) CPAP level of 6-8 cmH₂O
33
34 and FiO₂ >0.40 required to maintain saturations 90%-95% for 2 hour after randomization; 2) a
35
36 pH of 7.15 or less or a paCO₂ >65 mmHg on any (2) blood gases (arterial/capillary/or venous) at
37
38 least 2 hours after randomization and in the first 72 hours of life; 3) continued
39
40

41
42 Apnea/Bradycardia/Desaturation events despite nasal intermittent minute ventilation (NIMV)
43
44 mode of ventilation. To avoid the bias of withheld ventilation since the study is not masked,
45
46 infants with these criteria will be regarded as treatment failures.
47

48
49 For pragmatic purpose sites will be able to use their standard approach for non-invasive
50
51 ventilation as they have agreed to use each mode (NCPAP or NIMV) equally regardless of
52
53 randomization. Subsequent analysis will include primary mode of non-invasive ventilation.
54

55
56 Data collection on intubation will be collected using the Intubation card (Supplemental file 3)
57

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5 **Participant Timeline:** To indicate participant timeline between the Caffeine and LISA
6
7 procedure vs the Caffeine and CPAP procedure, [CaLI Study Overview Diagram]
8
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10 (Supplementary Appendix I) is attached.
11
12

13
14 **Patient and Public Involvement:**
15

16
17 We have collaborated with parents by presenting this study to the Sharp Mary Birch Parent
18
19 Advisory Board. Based on their experiences and preferences, we have incorporated their
20
21 suggestions and they enthusiastically support the study. One of the parents has agreed to be on the
22
23 DSMB to monitor the trial for safety. Their involvement includes input on the consent form and
24
25 perspective on the means of recruitment to the study.
26
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32 **Study Overview Diagram:** (Supplemental File 4)
33
34
35

36 **Data Management and Collection:**
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38
39 Data will be managed using REDCap electronic data capture tools hosted and managed at Sharp
40
41 Mary Birch Hospital for Women & Newborns. All collected variables are listed in the data report
42
43 form, (DRF forms): LISA Data Collection (supplemental file 1), CPAP arm Delivery Room Data
44
45 Collection (supplemental file 2), and CaLI Intubation Data Collection (supplemental file 3).
46
47
48 Loma Linda University Medical Center, University of California Irvine Medical Center, and
49
50 Sharp Mary Birch Hospital for Women & Newborns have extensive experience with REDCap
51
52 data entry.
53
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3 Randomization cards are also utilized as data collection forms, with pertinent information
4
5 completed and signed by care providers in real-time. To maintain integrity of the study data, site
6
7 Data Coordinators will enter data information into REDCap and verified by the primary site Data
8
9 coordinator and Research Coordinator prior to locking the subject's electronic data file.
10
11

12 13 14 **Data and safety monitoring plan:**

15
16 An independent, well recognized, data safety monitoring board (DSMB) with experience with
17
18 respiratory trials is chosen for this study. Drs. Brad Yoder and Wally Carlo have led and
19
20 participated in a number of trials including: High-Flow Nasal Cannula, High Frequency
21
22 Ventilation, and Surfactant. In addition, a former parent that has participated in research trials
23
24 Kirsten Norman has agreed to serve on the DSMB. The DSMB will: 1) oversee the safety data
25
26 on all study patients, 2) safeguard the interests of all study patients, 3) monitor the overall
27
28 conduct of the trial, 4) advise the investigators in order to protect the integrity of the trial, and 5)
29
30 supervise the conduct and analysis of all interim analyses. To this end, the DSMB will receive
31
32 monthly reports from the trial on any injuries or adverse events, any developments that
33
34 jeopardize the continued success of the trial, and data by which to accomplish the evaluation of
35
36 predetermined early stopping rules. All SAEs, protocol deviations, non-serious adverse events
37
38 (AEs), and unanticipated problems (UPs) will be reported to the Data Coordinating Center
39
40 (DCC) and forwarded to the DSMB if indicated (see below). Reports of adverse events and
41
42 recruitment will be sent monthly and demographics will be included with the interim and final
43
44 safety and efficacy analyses. Interim analyses determined by the DSMB and the project
45
46 statistician will be conducted independently from the trial leadership and staff. The definitions
47
48 and reporting process are as follows:
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3 Serious Adverse Events defined as one or more of the following: decompensation during the
4 administration of surfactant in either arm including the use of epinephrine in the delivery room
5 and chest compressions, or death prior to discharge.
6
7
8

- 9 1. All SAEs will be reported within 72 hours of discovery of event, to the PI and the site
10 IRB.
11
- 12 2. Any Unexpected AE or Serious Deviation will be reported within 7 days of discovery of
13 event to the Data Coordinating Center.
14
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21 Non-Serious Events

22 Unexpected events that are Non-Serious are reported not more than 14 days after the PI first
23 learns of the event. The DCC will forward all non-serious unexpected events to the DSMB, and
24 main study PI. All other expected outcomes of prematurity, i.e. BPD, IVH grades 1-4, ROP,
25 NEC, will be collected in the electronic database and reviewed in interim reports. We have
26 appointed a DSMB to work closely with the main study PI. There are no conflicts of interest with
27 these individuals, who are not research collaborators of, and are at separate institutions from the
28 investigators at the enrolling sites.
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39 The study will be closely monitored for issues of data quality, study conduct, and adverse events.
40 These analyses will be presented to the DSMB. Interim analyses will seek to identify results that
41 are sufficiently extreme and precise, this is to offset the goal of obtaining additional data that
42 might lead to more precise and perhaps less exaggerated and more convincing results, as well as
43 information about differences in treatment effect by subgroups of patients. Determinations on
44 stopping must reflect ethical considerations of the impact of interim results on clinical equipoise
45 as well as considerations on the potential impact (or lack of impact) of interim results on clinical
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3 practice. The superiority must be tested in the context of this trial first and then superiority
4
5 assessed, unless the DSMB is ethically motivated to stop the trial for superiority.
6
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10 **Statistical Analysis Plan:**

11
12 A chart review of the databases at Sharp Mary Birch has shown that approximately 49% of our
13
14 infants 24-29+6 weeks' gestation were intubated and mechanically ventilated after 5 minutes of
15
16 life but within the first 72 hours of life. Therefore, a very conservative sample size calculation
17
18 indicates that in order to detect a 22% absolute reduction (a reduction from 49% to 27%) we
19
20 would need at least 75 subjects in each arm for an 80% power and a p-value of less than 0.05 for
21
22 significance. An adjustment of 1.12 derived from the NICHD Neonatal Research Network
23
24 Generic Database, allowed for multiples to be randomized to the same treatment introducing a
25
26 clustering effect.⁸ In order to account for multiples and potential drop out of subjects we plan to
27
28 consent 90 subjects in each arm (180 subjects total). A future detailed statistical analysis plan
29
30 will be made available prior to completion of the trial.
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36

37 **ETHICS AND DISSEMINATION**

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39
40 Ethics approval has been obtained. Prior to any research procedure, consent will be obtained by
41
42 the primary investigator or a delegated sub-investigator or a research associate. The mother, or
43
44 legally authorized representative must sign the informed consent document. Mother (or surrogate
45
46 mother) must sign a HIPAA authorization providing access to her medical records for collection of
47
48 maternal data. Either mother or father or legal guardian can sign a HIPAA authorization providing
49
50 access to the child's medical record for data collection purposes. The subject's legally authorized
51
52 representatives will be given ample time to read the informed consent, ask questions of the research
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1
2
3 team, and discuss the study with their family and/or the subject's physician. The informed consent
4
5 process will be documented in the electronic medical record and copies of the signed and dated
6
7 consent will be given to the subject's representatives, placed in the subject's physical chart, and
8
9 stored in a locked cabinet in the offices of the Neonatal Research Institute. Results will be
10
11 published and presented at the Pediatric Academic Societies meeting upon completion. Any
12
13 important protocol modifications will be communicated to sub-site lead investigators via secured
14
15 email which will include automated confirmation of receipt and recorded audio/visual meetings.
16
17

18 **Confidentiality:**

19
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21 All data will be safeguarded in accordance with the Health Insurance Portability and
22
23 Accountability Act (HIPAA) and the principles and practices of strict confidentiality. Data will
24
25 be maintained by numerical code rather than personal identifiers and computer-based files will
26
27 be available only to persons involved in the study through the use of access privileges and
28
29 passwords. All local databases will be secured with password-protected access systems. Forms,
30
31 lists, logbooks, appointment books, and any other listings that link participant ID numbers to
32
33 other identifying information will be stored in a separate, locked file in an area with limited
34
35 access.
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41 **Protection against Risk:**

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44 Only research team members (with appropriate research training relevant to protection of human
45
46 subjects) shall have access to the project's databases. The final trial data set will remain with the
47
48 lead PI and DCC.
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50

51 **APPENDIX II**

52
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54 Informed Consent Form (Supplementary Appendix II)
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Abbreviations (in alphabetical order)

BPD = Bronchopulmonary Dysplasia (supplemental O2 at 36 weeks CGA)

Bpm = beats per minute

BSID-4= Bayley Scales of Infant and Toddler Development 4th ed

CPAP = Continuous Positive Airway Pressure

LISA = Less Invasive Surfactant Administration

NCPAP = Nasal Continuous Positive Airway Pressure

NICU=Neonatal Intensive Care Unit

NIMV = Nasal Intermittent Minute Ventilation

PPV = positive pressure ventilation with bag & mask

RDS= Respiratory Distress Syndrome

ROP= Retinopathy of Prematurity

SMBHWN= Sharp Mary Birch Hospital for Women & Newborns

LLU= Loma Linda University Medical Center

UCI= University of California Irvine Medical Center

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Statistician

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FUNDING STATEMENT

A grant to support the CaLI trial has been obtained from Chiesi Farmaceutici, S.p.A and with this financial support, the primary study site maintains ultimate authority overall study activities.

Chiesi Grant #: CRTX-GR-717

COMPETING INTERESTS

The Principal Investigator for the overall trial and each study site declare no financial or other competing interests.

CONTRIBUTORSHIP STATEMENT

FI and AK developed the initial protocol and manuscript. SH, KC, AH, AB, CU, NF, WR helped revise the manuscript and protocol. AM and JS helped develop the dataset and variables for the manuscript.

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CALI Study Randomization Card

Treatment: **LISA & Caffeine**

Subject ID: _____ Site #: _____

Date/time of Randomization: ____/____/____ : ____:____
MM / DD / YYYY HH : MM

PLEASE REFER ON BACK OF CARD FOR LISA PROCEDURAL CHECKLIST

FiO2: _____ CPAP: _____ SpO2: _____ HR: _____ at randomization

1. Caffeine Therapy started in LDR/Resuscitation Rm?	<input type="checkbox"/> Yes <input type="checkbox"/> No
2. Start time of LISA (from Laryngoscopy attempt)	Time: ____:____ HH : MM
3. Duration of Laryngoscopy attempt? (Time of insertion to removal)	1 st _____ seconds 2 nd _____ seconds 3 rd _____ seconds
4. Successful placement of LISA catheter?	<input type="checkbox"/> Yes <input type="checkbox"/> No
5. Total surfactant administered (2.5 mL/kg)	_____ mLs
6. End time of LISA (removal of angiocatheter)	Time: ____:____ HH : MM
7. Surfactant aspirated from stomach or leaked from mouth (failure/regurgitation from trachea)?	<input type="checkbox"/> Yes <input type="checkbox"/> No
8. Amount surfactant aspirated?	_____ mLs
9. Lowest HR during procedure?	_____ Bpm
10. Lowest SpO2 during procedure?	_____ %
11. Interventions?	Notes:

Affix patient label to back of this card

Completed By (Name): _____ Date: ____/____/____ Peer review only - <http://bmjopen.bmj.com/site/about/guidelines.xhtml>

1 **Supplies for LISA procedure:**

2 ○ 16g angiocatheter, measured and marked insertion length with tape or

3 Sharpie, NEEDLE REMOVED

4

5 ○ Laryngoscope size: 00 0

6 ○ Laryngoscope type: Video Conventional

7 ○ Curosurf 2.5 mL/kg/dose in syringe

8 ○ 8 FR feeding tube and compatible syringe

9 ○ 2- 10 mL syringe

10 ○ Blunt plastic needle

11 ○ 7 inch IV small bore extension tubing

12 **PROCEDURE:**

13 ○ At randomization infant will be on CPAP

14 ○ Infant will be positioned in a “sniffing position”

15 ○ An 8 FR orogastric (OG) tube will be placed and gastric contents aspirated.

16 OG tube should remain in place during the LISA procedure

17

18 ○ Ensure adequate CPAP and Vital Signs (VS) stable

19 ○ Place IV for IV Caffeine loading dose

20 ○ Obtain 16 gauge catheter and **remove needle**

21 ○ Measure depth of catheter insertion using clean technique (6 + wt in Kg)

22 mark with a small piece of intubation tape or sharpie

23

24 ○ Provider visualizes vocal cords, inserts & stabilizes angiocatheter

25 ○ RCP attaches 7 inch IV small bore extension tubing to angiocatheter

26 ○ RCP attaches syringe with Curosurf to the extension tubing

27 ○ RCP slowly administers Curosurf over 1-2 minutes (approximately in 3

28 aliquots) while infant is spontaneously breathing on CPAP

29 ○ RCP will flush angiocath with 5 mLs of air to clear surfactant from

30 angiocatheter

31

32 ○ Provider will remove angiocatheter and infant will continue on CPAP

33 therapy

34 ○ Wean FiO2 as tolerated

35

36 **If infant requires intubation within 72 hours, Please complete Intubation**

37 **Card and call Neonatal Research at x6307**

For peer review only

39 Sharp Mary Birch Hospital for Women & Newborns. (2020). CaLI Study Randomization Card. v1.0

40 (Supplemental File 1)

41
42
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CALI Study Randomization Card

Treatment: **CPAP & Caffeine**

Subject ID: _____

Site #: _____

Date/time of Randomization: ____/____/____ : ____
MM / DD / YYYY HH : MM

Complete at time of randomization	
1. CPAP Level?	_____ cmH2O
2. FiO2 requirement?	_____ %
3. Vitals: HR/SpO2	HR: _____ Bpm SpO2 _____ %
4. Caffeine Therapy started in LDR/Resuscitation Rm?	<input type="checkbox"/> Yes <input type="checkbox"/> No
Notes/comments:	
<p>If infant requires intubation within 72 hours of randomization, Please complete Intubation Card and call Neonatal Research at x6307</p>	

Affix patient label to back of this card

Completed By (Name): _____ Date: ____/____/____

Use only if intubating within 72 HOURS

Use only if intubating within 72 HOURS

Date/Time of 72 hours after randomization: MM/DD/YYYY HH:MM

Date/Time of 72 hours after randomization: MM/DD/YYYY HH:MM

Subject ID: Site #:

Subject ID: Site #:

Treatment assignment: Caffeine & CPAP Caffeine & LISA

Treatment assignment: Caffeine & CPAP Caffeine & LISA

PLEASE COMPLETE & CALL Neonatal Research at X6307

PLEASE COMPLETE & CALL Neonatal Research at X6307

Form with 6 sections: 1. Date/Time of Intubation, 2. Duration of Laryngoscopy, 3. Was Intubation successful?, 4. Lowest HR during procedure?, 5. Lowest SpO2 during procedure?, 6. Reason Patient Intubated.

Form with 6 sections: 1. Date/Time of Intubation, 2. Duration of Laryngoscopy, 3. Was Intubation successful?, 4. Lowest HR during procedure?, 5. Lowest SpO2 during procedure?, 6. Reason Patient Intubated.

Affix patient label to back of this card

Affix patient label to back of this card

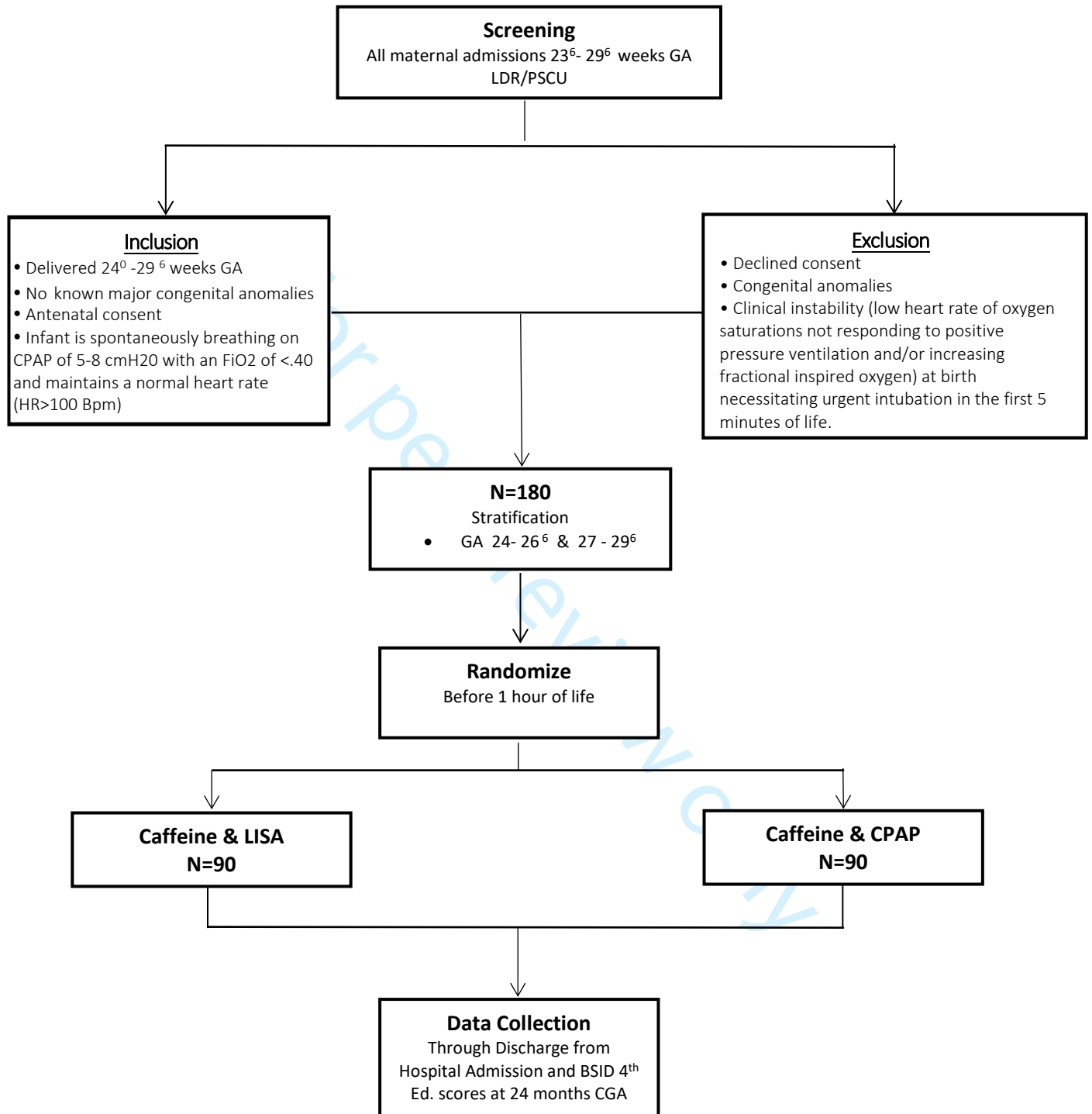
Completed By

Completed By

Printed Name: Initials: Date:

Printed Name: Initials: Date:

CaLI Study Overview Diagram (Supplemental File 4)



Sharp Mary Birch Hospital for Women & Newborns 2020. Legend: BSID-Bayley Scales of Infant Development, CPAP- Continuous Positive Airway Pressure, GA-Gestational Age, LDR- Labor and Delivery Room, LISA- Less Invasive Surfactant Administration, PSCU- Perinatal Special Care Unit



INFORMED CONSENT

A Multicenter, Randomized Trial of Preterm Infants receiving **C**affeine and **L**ess **I**nvasive Surfactant Administration Compared to Caffeine and Early Continuous Positive Airway Pressure (CaLI Trial)

IRB #
1911902

Consent Date
06Aug2020 v1.2

Principal Investigator

Anup Katheria, MD
Neonatal Research Institute
SHARP Mary Birch Hospital for Women and Newborns
3003 Health Center Drive, San Diego, CA 92123

Research Grant

Chiesi Farmaceutici S.p.A.

If you are serving as a legally authorized representative, a guardian or are providing parental permission for a child in this study, the terms "you" and "your" refer to the person for whom you are providing consent or parental permission.

CALIFORNIA EXPERIMENTAL SUBJECT’S BILL OF RIGHTS

You have been asked to participate as a subject in an experimental procedure. Before you decide whether you want to participate in the experimental procedure, you have a right to:

1. Be informed of the nature and purpose of the experiment;
2. Be given an explanation of the procedures to be followed in the medical experiment, and any drug or device to be utilized;
3. Be given a description of any discomforts and risks reasonably to be expected from your participation in the experiment;
4. Be given an explanation of any benefits reasonably to be expected from your participation in the experiment;
5. Be given a disclosure of any appropriate alternative procedures, drugs or devices that might be advantageous to you, and their relative risks and benefits;
6. Be informed of the avenues of medical treatment, if any, available to you after the experimental procedure if complications arise;
7. Be given an opportunity to ask any questions concerning the medical experiment or the procedures involved;
8. Be instructed that consent to participate in the experimental procedure may be withdrawn at any time and that you may discontinue participation in the medical experiment without prejudice;
9. Be given a copy of this form and the signed and dated written consent form; and
10. Be given the opportunity to decide to consent or not to consent to the medical experiment without the intervention of any element of force, fraud, deceit, duress, coercion or undue influence on your decision.

I have carefully read the information contained above and I understand fully my rights as a potential subject in a medical experiment involving people as subjects.

Signature of Parent or Legally Authorized Representative	Printed Name	Date
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PARTICIPATION IN A RESEARCH STUDY

This is a research study. The purpose of a research study is to answer scientific questions. We are asking for your permission to have your baby participate in a research study so that we can learn new information that may help others in the future. Research is not the same as routine treatment or medical care.

Your participation is voluntary. You do not have to allow your baby to be in this study. You are free to say yes or no, or to allow your baby to drop out after joining. If you decide not to participate there is no penalty or loss of benefits. Whatever you decide, your baby's regular medical care will not change.

This process is known as the informed consent process. It is important that you read this consent form and ask the study doctor any questions you may have. Please take your time to make your choice. Discuss it with your friends and family.

WHY ARE YOU BEING ASKED TO TAKE PART IN THIS STUDY?

Your baby has been chosen because he/she may be born prematurely with immature lungs and a lack of natural lung surfactant, a fluid that coats the lungs and help them remain open. Due to this condition, your baby may not breathe well at birth or in the first days after birth and may benefit from receiving surfactant medicine or continuous airway pressure to help your baby's lungs remain open and improve oxygenation. Both Surfactant administration and continuous positive airway pressure (CPAP) are currently standard treatments for premature infants that need respiratory support after delivery.

Surfactant administration traditionally involves inserting a breathing tube in your baby's airway (intubation) and placing them on a breathing machine for respiratory support. Continuing on a breathing machine for a long period of time increases your baby's chance of developing bronchopulmonary dysplasia (BPD), a chronic lung disease of the neonate. Delivery room resuscitation of very premature infants has evolved dramatically over the past decades. Optimizing the care of these newborns now involves early continuous positive airway pressure (CPAP) and the avoidance of mechanical ventilation. However, mechanical ventilation is still often used when administering surfactant as the need arises.

The LISA method (Less Invasive Surfactant Administration) is another method that involves using a small catheter to administer surfactant directly into a baby's lungs. It also involves administering a precautionary dose of surfactant, compared to the traditional method which only administers doses of surfactant as needed using the breathing tube. A recent study in Europe showed that the Less Invasive Surfactant Administration (LISA) method had the lowest risk for the development of bronchopulmonary dysplasia (BPD) when compared to mechanical ventilation. Despite these results showing it decreased the need for mechanical ventilation compared to CPAP alone, there have been no studies done in the United States and the use of the LISA method is still not widely accepted.

We are conducting this study to find out if infants that receive surfactant by the LISA method (study method) compared to early CPAP and mechanical ventilation (standard method) require less intubation and less days on respiratory support.

HOW MANY PEOPLE WILL TAKE PART IN THIS STUDY?

Approximately 180 babies will take part in the study. We will enroll 120 babies at Sharp Mary Birch Hospital for Women & Newborns, 30 babies at Loma Linda University Medical Center, and 30 babies at University of California Irvine Medical Center.

HOW LONG WILL YOU BE IN THE STUDY?

Your baby will be in this study from birth through 2 years of age. We will also collect information about your baby from the 2-year follow-up visit described below.

WHAT IS INVOLVED IN THIS STUDY?

We are asking for your permission to have your baby be in a research study so that we can learn new information that may help other babies.

If you decide to let your baby take part in the current research study and your baby needs support with breathing, your baby will be given CPAP through the nose. If your baby's breathing remains stable, he/she will be randomized (meaning based on chance, like flipping a coin) to either continuing on CPAP or being given a medicine called surfactant. The surfactant medicine is a small volume of liquid that will be placed directly into your baby's lungs using a small catheter (a small flexible tube). This is called the LISA method. This medication helps keep your baby's lung inflated and improves oxygenation.

Your baby will have a 50/50 chance of being placed in either group (CPAP or LISA). After your baby is placed on CPAP or given surfactant, he/she will be carefully monitored.

In either case if your baby needs more help with breathing, your baby's doctor will decide the best way to help support your baby's breathing which may include placement of an endotracheal tube into your baby's airway.

In some cases, your baby may require additional surfactant, if they are not breathing well or continue to need increased support such as additional oxygen. If your baby is in the CPAP group and becomes unwell in this study, your baby's doctor may decide to provide an initial dose of surfactant, and maybe more doses, as needed. This would require insertion of a regular endotracheal breathing tube (if not already placed), which is the current standard practice for providing surfactant.

If your baby is in the LISA group and becomes unwell in this study, your baby's doctor may decide to provide additional doses of surfactant as needed. This will be done by insertion of a regular endotracheal tube.

The procedures of the study are described below. The decision for treatment will be made at the first 5 minutes after your baby's birth.

- The doctor will evaluate your baby's condition at birth. If your doctor determines that your baby needs immediate placement of an endotracheal tube to assist breathing, your baby will not be in the study. Babies who are intubated at birth will not be in the study.
- If your baby is stable and breathing on his/her own with CPAP, he/she will be randomized to either the LISA group with CPAP or CPAP alone. This is done by selecting an envelope which contains a card telling the team which treatment the baby will receive.

During the NICU hospitalization, your baby will be continuously monitored to check the health of your baby's heart, brain and lungs and overall condition. This is normally part of the standard care for preterm babies.

OUTPATIENT FOLLOW-UP

All premature babies are evaluated periodically (at 6 months, then once a year) as part of routine care at the Nemeth NICU Follow-up Clinic during the first 2 years of life. At these visits, the doctors and nurses who work at the clinic will check your baby's health and development. At every visit, they will ask questions about your living arrangements and your baby's medical condition. They will evaluate your baby's development using toys and items that are part of a developmental test. They will do a physical exam and check your baby's muscle strength and reflexes (neurologic exam).

WHAT IS THE RESEARCH PART OF OUTPATIENT FOLLOW-UP?

The research visit is between 22-26 months corrected age (2 years from your baby's original due date). At this visit, the doctors and nurses will do everything listed above that is routine for your infant given their prematurity. The results of the routine evaluation will be obtained as part of our data collection. We will use a study number, not your child's name to ensure confidentiality and anonymity of your medical information.

After that, your baby's involvement will be completed and there are no further study requirements for your baby.

WHAT ARE THE RISKS OF THE STUDY?

Both methods of administering surfactant either by the LISA method or the endotracheal tube are practiced in our NICU. The surfactant used in this trial is our current standard surfactant.

You should note:

- Infants randomized to the LISA group could receive an extra dose of surfactant when they otherwise might not have if they were not part of the study.
- Infants randomized to the CPAP group may receive mechanical ventilation that they otherwise might not have if they were not part of the study
- The catheter used in the LISA method is being used off-label, meaning it is used in a way that is different from the FDA's approved packaging label. It is used intratracheally (into the trachea) rather than intravenously (into the vein).

1
2 Risks of surfactant include:

- 3
- 4 • Low blood oxygen level
 - 5 • Slow heart rate
 - 6 • Low blood pressure
- 7

8 Risks of Intra-tracheal catheter:

- 9
- 10 • There may be risks that are unknown at this time
- 11

12 Risks of mechanical ventilation include:

- 13
- 14 • Volutrauma- over expansion of the lungs by delivery of too much gas
 - 15 • Pneumothorax- is a collapsed lung
 - 16 • Pneumonia- lung infection
 - 17 • Development of Bronchopulmonary Dysplasia (BPD)- a chronic lung disease that affects
 - 18 premature infants
- 19

20 Based on the current literature to date, there are no increased risks with less invasive
21 administration of surfactant with a small catheter (i.e. the LISA method) compared to
22 endotracheal administration of surfactant in several large European trials. All risks with
23 conducting this study are associated with prematurity including severe IVH, death, retinopathy of
24 prematurity, chronic lung disease and other lung problems such as possible air leaks. There
25 should be no more risks for babies in this study than are possible for any Extreme Low Birth
26 Weight (ELBW) baby needing surfactant therapy. However, as with all research, there may be
27 risks that are unknown at this time.
28
29

30 **ARE THERE BENEFITS TO TAKING PART IN THIS STUDY?**

31
32
33 There may or may not be direct benefits to your baby for participating in this study. We hope the
34 information we learn will help babies with respiratory distress syndrome in the future.
35

36 **WHAT OTHER OPTIONS ARE THERE?**

37
38 Your baby's alternative is to not participate in this study and receive treatment of Respiratory
39 Distress Syndrome as prescribed by your personal physician. Your doctor will discuss these
40 alternative treatments with you as well as their benefits and risks.
41
42

43 **WILL YOU OR YOUR CHILD BE PAID TO BE IN THIS STUDY?**

44
45 You and your child will not be paid to be in this study. No additional compensation is available
46 for participation in this study.
47

48 **WHAT ARE THE COSTS?**

49
50 The study drug, Curosurf, will be provided for you at no cost by the study sponsor.
51

52 There are no additional costs to be in this study. You and/or your health plan/insurance company
53 are responsible for the cost of your baby's hospitalization and standard clinical care provided.
54 You will be responsible for co-pays and deductibles in the same way as outside of a clinical trial.
55
56
57

1
2 For more information about your costs, please discuss with the hospital's billing department, or
3 call your health plan/insurance company to find out your financial responsibility for this trial.
4

5 **RESEARCH-RELATED INJURY**

6

7
8 If your baby gets sick or injured in this study, please tell your study doctor. Your baby will be
9 treated or referred for medical treatment. You or your insurance will be responsible for the cost
10 of treatment.
11

12 Sharp HealthCare will not provide any compensation for treatment of research related injury or
13 illness.
14

15 **PAYMENT TO STUDY SITE**

16

17
18 CHIESI has provided a grant to Sharp Mary Birch Hospital for Women & Newborns to reimburse
19 the study site for expenses related to the conduct of this study. This includes providing the
20 Surfactant medication your baby may receive while in the study.
21

22 **NEW INFORMATION**

23

24
25 You will be told if any important new information is found during the course of this study that
26 may affect your wanting to continue. If you decide to continue in the study, your study doctor
27 may ask you to sign an updated consent form.
28

29 **WHAT ABOUT CONFIDENTIALITY?**

30

31 Efforts will be made to keep your personal information confidential. We cannot guarantee
32 absolute confidentiality. Your personal information may be disclosed if required by law.
33 Organizations or individuals that may inspect and/or copy your medical and/or research records
34 for quality assurance and data analysis include groups such as:
35

- 36 • Study Doctor and Research Staff at the Neonatal Research Institute
 - 37 • Sharp HealthCare Institutional Review Board (IRB, a group of people who review the
38 research to protect your rights)
 - 39 • The Food & Drug Administration (FDA)
40
- 41

42 Your information will be coded and stored anonymously in a database with information about
43 other people in this study. Access to this database is limited to the research staff.
44 Under California law, we must report information about known or reasonably suspected
45 incidents of abuse or neglect of a child including physical, sexual, emotional, and financial abuse
46 or neglect. If any investigator has or is given such information, he or she may be required to
47 report such information to the appropriate authorities.
48
49

50 As part of this research study you will be asked to sign an additional document,
51 Authorization to use Protected Health Information (PHI). This authorization will explain in
52 further detail how your and your baby's PHI will be used and shared in the study, who will
53 have access to it, what information will be obtained, and how long Sharp HealthCare will
54 use your information. It will also explain what to do if you decide you no longer want to
55 share your PHI, and your rights regarding your ability to see and copy your research
56 information.
57

58
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If the results of this study are published or presented at meetings, your identity will remain confidential.

WHAT ARE YOUR RIGHTS AS A PARTICIPANT?

Participating in this study is entirely voluntary. You may refuse to allow your baby to participate or withdraw your baby at any time without penalty or loss of benefits to which you or your baby are entitled. If you decide that you no longer want your baby to continue in this study, we encourage you to talk to the study doctor. Please contact Dr. Katheria to tell him you no longer want to participate:

Dr. Anup Katheria
(858) 939-4170
Anup.katheria@sharp.com

If you decide to remove your baby from the study, the study team may ask your permission to keep your baby's test results and information that has already been collected.

WHOM DO YOU CALL IF YOU HAVE ANY PROBLEMS, COMPLAINTS, CONCERNS, OR QUESTIONS?

If you have problems, complaints, concerns, or questions about this study, you may talk to your study doctor anytime.

If you have questions about:	Call:
This study (including complaints and requests for information)	858-939-4170 Dr. Anup Katheria 858-939-6307 Neonatal Research Institute
If you get sick or hurt in this study	858-939-4170 Dr. Anup Katheria
Your rights as a research participant and:	Sharp HealthCare Institutional Review Board 7930 Frost Street, Suite 300 San Diego, CA 92123 (858) 939-7195
<ul style="list-style-type: none"> • Discuss problems, concerns, and questions • Obtain information 	

WHERE CAN YOU GET MORE INFORMATION?

A description of this clinical trial is available on <http://www.ClinicalTrials.gov>, as required by U.S. law. This web site will not include information that can identify you or other participants. At most, the web site will include a summary of the results. You can search the web site at any time. The registration identifier for this study is NCT#04209946.

STATEMENT OF CONSENT

Your signature below means that you have read the above information about this study and have had a chance to ask questions to help you carefully consider whether you agree to have your child take part in this study and how your and your child’s information will be used.

You can change your mind later if you want to. You will be given a copy of this consent form including a copy of the Subject’s Bill of Rights. By signing this consent form you are not giving up any of your or your child’s legal rights.

You agree to participate in this research study.

Printed Name of Participant (Baby)

SIGNATURE OF PARENT OR LEGALLY AUTHORIZED REPRESENTATIVE	PRINTED NAME	DATE

AUTHORITY OF SIGNED OR RELATIONSHIP TO PARTICIPANT

SIGNATURE OF PRINCIPAL INVESTIGATOR/DESIGNEE	PRINTED NAME	DATE

----- **USE THE FOLLOWING ONLY IF APPLICABLE** -----

If this consent form is read to the participant because the participant is unable to read the form, an impartial witness not affiliated with the research or study doctor must be present for the consent and sign the following statement:

I confirm that the information in the consent form and any other written information was accurately explained to, and apparently understood by, the participant. The participant freely consented to be in the research study.

PRINTED NAME OF IMPARTIAL WITNESS

SIGNATURE OF IMPARTIAL WITNESS	DATE	TIME

NOTE: *This signature block cannot be used for translations into another language. A translated consent form is necessary for enrolling participants who do not speak English.*

9



Authorization to Use your Protected Health Information (PHI)

Study Title: A Multicenter, Randomized Trial of Preterm Infants receiving **C**affeine and **L**ess **I**nvasive Surfactant Administration Compared to Caffeine and Early Continuous Positive Airway Pressure (CaLI Trial)

Investigator: Anup Katheria, MD
Neonatal Research Institute
Sharp Mary Birch Hospital for Women & Newborns

Research Grant: Chiesi Farmaceutici S.p.A

Protected Health Information, or PHI, is any personal health information through which you or your baby can be identified. We are asking for your permission to use your baby's PHI in this research study. The information we may use includes maternal (prenatal) data from your baby's record, your baby's present health information, information that can be used to contact you, and results of your and your baby's medical tests. Maternal data will be collected from your baby's medical record; your medical record will be accessed for study purposes. The specific items of information that will be used and disclosed include:

- Maternal (prenatal) information related to the health of your baby, including:
 - Information about mother's pregnancy
 - Fetal History
 - Pregnancy complications
 - Medications for mother
 - Delivery record
- Information from your baby's medical record, including:
 - Medications for baby
 - Results of lab tests
 - Blood gases
 - Respiratory management

- Vital signs
- Diagnoses

The following people will access and use your baby's PHI for the purpose of this research:

- Dr. Anup Katheria, Primary Investigator, Sharp Mary Birch Hospital for Women & Newborns
- Sharp Mary Birch Hospital Neonatologists
- Research Staff at Sharp Mary Birch Hospital for Women & Newborns

Who may see your PHI?

Certain offices and people other than the researchers may look at your medical charts and study records. There may be times when federal or state law requires the sharing of such records. This is very unlikely, but if sharing the information is ever required, Sharp Mary Birch Hospital for Women & Newborns will take steps allowable by law to protect the confidentiality of personal information. If this information is shared with outside reviewers for audit purposes, it may be further shared by them and may not be covered by the federal privacy laws.

Representatives that may review your study records:

- the Sharp HealthCare Institutional Review Board (IRB; a group of people that review the research to protect the rights of research participants)
- the US Food and Drug Administration

How long will the Neonatal Research Institute use your information, and what will it be used for?

- Your and your baby's PHI may be used and shared until December 31, 2044.

The groups above will use your health information:

- To complete this research
- To evaluate the results of the study
- To check that the study is being done properly

What if you change your mind and want to withdraw your authorization for the use and disclosure of your PHI for this study?

You must write to the study doctor and tell him that you no longer want to share your child’s information at: Anup Katheria, MD. Neonatal Research Institute, Sharp Mary Birch Hospital for Women & Newborns, 3003 Health Center Drive, San Diego, CA 92123.

- Your baby will no longer be a part of the research study because the study doctor, and the research staff will not be able to use any new information about your baby.
- The research team can continue to use any of the PHI that was already collected.
- You and your baby will still get the same medical care that you have always had from Sharp Mary Birch Hospital for Women & Newborns.

Do you have the right to see and receive a copy of your research information?

You can see your research information if:

- It is also being used for your and your baby’s current treatment, or
- At the end of the study.

Authorization:

If you agree to share your and your baby’s PHI, you must sign this form below. If you do not sign this form, you and your baby will not be able to participate in this research study. You will be given a copy of this form.

Printed Names of Mother and Baby

_____ Signature of Mother or Legally Authorized Representative	_____ Printed Name	_____ Date
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_____ Signature of Father	_____ Printed Name	_____ Date
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Authority of Signee or Relationship to Participant





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

Section/item	Item No	Description
Administrative information		
Title	1	Descriptive title identifying the study design, population, interventions, and, if applicable, trial acronym
Trial registration	2a	Trial identifier and registry name. If not yet registered, name of intended registry
	2b	All items from the World Health Organization Trial Registration Data Set
Protocol version	3	Date and version identifier
Funding	4	Sources and types of financial, material, and other support
Roles and responsibilities	5a	Names, affiliations, and roles of protocol contributors
	5b	Name and contact information for the trial sponsor
	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
	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)
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
	6b	Explanation for choice of comparators
Objectives	7	Specific objectives or hypotheses
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)

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
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)
Interventions	11a	Interventions for each group with sufficient detail to allow replication, including how and when they will be administered
	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)
	11c	Strategies to improve adherence to intervention protocols, and any procedures for monitoring adherence (eg, drug tablet return, laboratory tests)
	11d	Relevant concomitant care and interventions that are permitted or prohibited during the trial
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
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)
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
Recruitment	15	Strategies for achieving adequate participant enrolment to reach target sample size

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
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1			
2	Allocation	16b	Mechanism of implementing the allocation sequence (eg, central
3	concealment		telephone; sequentially numbered, opaque, sealed envelopes),
4	mechanism		describing any steps to conceal the sequence until interventions are
5			assigned
6			
7	Implementation	16c	Who will generate the allocation sequence, who will enrol participants,
8			and who will assign participants to interventions
9			
10	Blinding	17a	Who will be blinded after assignment to interventions (eg, trial
11	(masking)		participants, care providers, outcome assessors, data analysts), and
12			how
13		17b	If blinded, circumstances under which unblinding is permissible, and
14			procedure for revealing a participant's allocated intervention during
15			the trial
16			
17			
18			
19			

Methods: Data collection, management, and analysis

20			
21	Data collection	18a	Plans for assessment and collection of outcome, baseline, and other
22	methods		trial data, including any related processes to promote data quality (eg,
23			duplicate measurements, training of assessors) and a description of
24			study instruments (eg, questionnaires, laboratory tests) along with
25			their reliability and validity, if known. Reference to where data
26			collection forms can be found, if not in the protocol
27		18b	Plans to promote participant retention and complete follow-up,
28			including list of any outcome data to be collected for participants who
29			discontinue or deviate from intervention protocols
30			
31	Data	19	Plans for data entry, coding, security, and storage, including any
32	management		related processes to promote data quality (eg, double data entry;
33			range checks for data values). Reference to where details of data
34			management procedures can be found, if not in the protocol
35			
36	Statistical	20a	Statistical methods for analysing primary and secondary outcomes.
37	methods		Reference to where other details of the statistical analysis plan can be
38			found, if not in the protocol
39		20b	Methods for any additional analyses (eg, subgroup and adjusted
40			analyses)
41		20c	Definition of analysis population relating to protocol non-adherence
42			(eg, as randomised analysis), and any statistical methods to handle
43			missing data (eg, multiple imputation)
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Methods: Monitoring

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53	Data monitoring	21a	Composition of data monitoring committee (DMC); summary of its role
54			and reporting structure; statement of whether it is independent from
55			the sponsor and competing interests; and reference to where further
56			details about its charter can be found, if not in the protocol.
57			Alternatively, an explanation of why a DMC is not needed
58			
59			
60			

1		21b	Description of any interim analyses and stopping guidelines, including
2			who will have access to these interim results and make the final
3			decision to terminate the trial
4			
5			
6	Harms	22	Plans for collecting, assessing, reporting, and managing solicited and
7			spontaneously reported adverse events and other unintended effects
8			of trial interventions or trial conduct
9			
10			
11	Auditing	23	Frequency and procedures for auditing trial conduct, if any, and
12			whether the process will be independent from investigators and the
13			sponsor
14			

Ethics and dissemination

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16			
17	Research ethics	24	Plans for seeking research ethics committee/institutional review board
18	approval		(REC/IRB) approval
19			
20			
21	Protocol	25	Plans for communicating important protocol modifications (eg,
22	amendments		changes to eligibility criteria, outcomes, analyses) to relevant parties
23			(eg, investigators, REC/IRBs, trial participants, trial registries, journals,
24			regulators)
25			
26	Consent or assent	26a	Who will obtain informed consent or assent from potential trial
27			participants or authorised surrogates, and how (see Item 32)
28			
29		26b	Additional consent provisions for collection and use of participant data
30			and biological specimens in ancillary studies, if applicable
31			
32			
33	Confidentiality	27	How personal information about potential and enrolled participants will
34			be collected, shared, and maintained in order to protect confidentiality
35			before, during, and after the trial
36			
37	Declaration of	28	Financial and other competing interests for principal investigators for
38	interests		the overall trial and each study site
39			
40			
41	Access to data	29	Statement of who will have access to the final trial dataset, and
42			disclosure of contractual agreements that limit such access for
43			investigators
44			
45	Ancillary and	30	Provisions, if any, for ancillary and post-trial care, and for
46	post-trial care		compensation to those who suffer harm from trial participation
47			
48	Dissemination	31a	Plans for investigators and sponsor to communicate trial results to
49	policy		participants, healthcare professionals, the public, and other relevant
50			groups (eg, via publication, reporting in results databases, or other
51			data sharing arrangements), including any publication restrictions
52			
53		31b	Authorship eligibility guidelines and any intended use of professional
54			writers
55			
56			
57		31c	Plans, if any, for granting public access to the full protocol, participant-
58			level dataset, and statistical code
59			
60			

Appendices

Informed consent materials	32	Model consent form and other related documentation given to participants and authorised surrogates
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

*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](#)" license.

For peer review only