# **SPIRIT Checklist for *Trials***

Complete this checklist by entering the page and line numbers where each of the items listed below can be found in your manuscript.

Your manuscript may not currently address all the items on the checklist. Please modify your text to include the missing information. If you are certain that an item does not apply, please state "n/a" and provide a short explanation. **Leaving an item blank or stating “n/a” without an explanation will lead to your manuscript being returned before review.**

Upload your completed checklist as an additional file when you submit to *Trials*. You must reference this additional file in the main text of your protocol submission. The completed SPIRIT figure must be included within the main body of the protocol text and can be downloaded here: <http://www.spirit-statement.org/schedule-of-enrolment-interventions-and-assessments/>

In your methods section, please state that you used the SPIRIT reporting guidelines, and cite them as:

Chan A-W, Tetzlaff JM, Gøtzsche PC, Altman DG, Mann H, Berlin J, Dickersin K, Hróbjartsson A, Schulz KF, Parulekar WR, Krleža-Jerić K, Laupacis A, Moher D. SPIRIT 2013 Explanation and Elaboration: Guidance for protocols of clinical trials. BMJ. 2013;346:e7586

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| --- | --- | --- | --- | --- |
|  |  | **Reporting Item** | **Page and Line Number** | **Reason if not applicable** |
| **Administrative information** | | | | |
| Title | [#1](https://www.goodreports.org/reporting-checklists/spirit/info/#1) | Descriptive title identifying the study design, population, interventions, and, if applicable, trial acronym | Page 1: Lines 1-2 |  |
| Trial registration | [#2a](https://www.goodreports.org/reporting-checklists/spirit/info/#2a) | Trial identifier and registry name. If not yet registered, name of intended registry | Page 3: Line 66  Page 24: Line 475 |  |
| Trial registration: data set | [#2b](https://www.goodreports.org/reporting-checklists/spirit/info/#2b) | All items from the World Health Organization Trial Registration Data Set | Page 24: Lines 474-480 |  |
| Protocol version | [#3](https://www.goodreports.org/reporting-checklists/spirit/info/#3) | Date and version identifier | Page 24: Lines 477-480 |  |
| Funding | [#4](https://www.goodreports.org/reporting-checklists/spirit/info/#4) | Sources and types of financial, material, and other support | Page 22: Lines 438-439 |  |
| Roles and responsibilities: contributorship | [#5a](https://www.goodreports.org/reporting-checklists/spirit/info/#5a) | Names, affiliations, and roles of protocol contributors | Page 1: Line 4-21  Page 23: Line 452-453  Page 24: Line 468-472 |  |
| Roles and responsibilities: sponsor contact information | [#5b](https://www.goodreports.org/reporting-checklists/spirit/info/#5b) | Name and contact information for the trial sponsor | Page 23 : Lines 441-443 |  |
| Roles and responsibilities: sponsor and funder | [#5c](https://www.goodreports.org/reporting-checklists/spirit/info/#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 | Page 23: Line 443 |  |
| Roles and responsibilities: committees | [#5d](https://www.goodreports.org/reporting-checklists/spirit/info/#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) |  | N/A: There is a study safety officer for the trial, and Anthony Perkins and Sujuan Gao are the biostatisticians forming the data management team. See charter. |
| **Introduction** |  |  |  |  |
| Background and rationale | [#6a](https://www.goodreports.org/reporting-checklists/spirit/info/#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 | Page 5-6: Lines 87-116 |  |
| Background and rationale: choice of comparators | [#6b](https://www.goodreports.org/reporting-checklists/spirit/info/#6b) | Explanation for choice of comparators | Page 5-6 : Lines: 107-116 |  |
| Objectives | [#7](https://www.goodreports.org/reporting-checklists/spirit/info/#7) | Specific objectives or hypotheses | Page 6: Lines 112-116 |  |
| Trial design | [#8](https://www.goodreports.org/reporting-checklists/spirit/info/#8) | Description of trial design including type of trial (eg, parallel group, crossover, factorial, single group), allocation ratio, and framework (eg, superiority, equivalence, non-inferiority, exploratory) | Page 6: Lines 119-124 |  |
| **Methods: Participants, interventions, and outcomes** | | | | |
| Study setting | [#9](https://www.goodreports.org/reporting-checklists/spirit/info/#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 | Page 8: Lines 135-140 |  |
| Eligibility criteria | [#10](https://www.goodreports.org/reporting-checklists/spirit/info/#10) | Inclusion and exclusion criteria for participants. If applicable, eligibility criteria for study centres and individuals who will perform the interventions (eg, surgeons, psychotherapists) | Page 8: Lines 145 - 149 |  |
| Interventions: description | [#11a](https://www.goodreports.org/reporting-checklists/spirit/info/#11a) | Interventions for each group with sufficient detail to allow replication, including how and when they will be administered | Page 9-10: Lines 177-181  Page 12-13: Lines 198-211 |  |
| Interventions: modifications | [#11b](https://www.goodreports.org/reporting-checklists/spirit/info/#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) | Page 9-10: Lines 177-181  Page 12: Lines 202-204 |  |
| Interventions: adherance | [#11c](https://www.goodreports.org/reporting-checklists/spirit/info/#11c) | Strategies to improve adherence to intervention protocols, and any procedures for monitoring adherence (eg, drug tablet return; laboratory tests) | Page 12: Lines 201-202  Page 12-13: Lines 207-211 |  |
| Interventions: concomitant care | [#11d](https://www.goodreports.org/reporting-checklists/spirit/info/#11d) | Relevant concomitant care and interventions that are permitted or prohibited during the trial | Page 15: Lines 260-262 |  |
| Outcomes | [#12](https://www.goodreports.org/reporting-checklists/spirit/info/#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 | Page 14-15: Lines 243-257 |  |
| Participant timeline | [#13](https://www.goodreports.org/reporting-checklists/spirit/info/#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) | Page 14: Figure 2 |  |
| Sample size | [#14](https://www.goodreports.org/reporting-checklists/spirit/info/#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 | Page 11: Figure 1  Page 18-19: Lines 342-350 |  |
| Recruitment | [#15](https://www.goodreports.org/reporting-checklists/spirit/info/#15) | Strategies for achieving adequate participant enrolment to reach target sample size | Page 9: Lines 167-170 |  |
| **Methods: Assignment of interventions (for controlled trials)** | | | | |
| Allocation: sequence generation | [#16a](https://www.goodreports.org/reporting-checklists/spirit/info/#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 | Page 9-10: Lines 171-179 |  |
| Allocation concealment mechanism | [#16b](https://www.goodreports.org/reporting-checklists/spirit/info/#16b) | Mechanism of implementing the allocation sequence (eg, central telephone; sequentially numbered, opaque, sealed envelopes), describing any steps to conceal the sequence until interventions are assigned | Page 9: Lines 171-176  Page 14: Lines 233-241 |  |
| Allocation: implementation | [#16c](https://www.goodreports.org/reporting-checklists/spirit/info/#16c) | Who will generate the allocation sequence, who will enrol participants, and who will assign participants to interventions | Page 9-10: Lines 171-179 |  |
| Blinding (masking) | [#17a](https://www.goodreports.org/reporting-checklists/spirit/info/#17a) | Who will be blinded after assignment to interventions (eg, trial participants, care providers, outcome assessors, data analysts), and how | Page 14: Lines 233-241 |  |
| Blinding (masking): emergency unblinding | [#17b](https://www.goodreports.org/reporting-checklists/spirit/info/#17b) | If blinded, circumstances under which unblinding is permissible, and procedure for revealing a participant’s allocated intervention during the trial | Page 14: Lines 233-241 |  |
| **Methods: Data collection, management, and analysis** | | | | |
| Data collection plan | [#18a](https://www.goodreports.org/reporting-checklists/spirit/info/#18a) | Plans for assessment and collection of outcome, baseline, and other trial data, including any related processes to promote data quality (eg, duplicate measurements, training of assessors) and a description of study instruments (eg, questionnaires, laboratory tests) along with their reliability and validity, if known. Reference to where data collection forms can be found, if not in the protocol | Page 13: Lines 216-218  Page 13: Lines 225 – 228  Page 15: Lines 259-264  Page 16-17: Lines 307 – 316 |  |
| Data collection plan: retention | [#18b](https://www.goodreports.org/reporting-checklists/spirit/info/#18b) | Plans to promote participant retention and complete follow-up, including list of any outcome data to be collected for participants who discontinue or deviate from intervention protocols | Page 17-18: Lines 320-329 |  |
| Data management | [#19](https://www.goodreports.org/reporting-checklists/spirit/info/#19) | Plans for data entry, coding, security, and storage, including any related processes to promote data quality (eg, double data entry; range checks for data values). Reference to where details of data management procedures can be found, if not in the protocol | Page 18: Lines 332-339 |  |
| Statistics: outcomes | [#20a](https://www.goodreports.org/reporting-checklists/spirit/info/#20a) | Statistical methods for analysing primary and secondary outcomes. Reference to where other details of the statistical analysis plan can be found, if not in the protocol | Page 19-21: Lines 368-396 |  |
| Statistics: additional analyses | [#20b](https://www.goodreports.org/reporting-checklists/spirit/info/#20b) | Methods for any additional analyses (eg, subgroup and adjusted analyses) | Page 19: Lines 368-396 |  |
| Statistics: analysis population and missing data | [#20c](https://www.goodreports.org/reporting-checklists/spirit/info/#20c) | Definition of analysis population relating to protocol non-adherence (eg, as randomised analysis), and any statistical methods to handle missing data (eg, multiple imputation) | Page 21: Lines 397-405 |  |
| **Methods: Monitoring** | | | | |
| Data monitoring: formal committee | [#21a](https://www.goodreports.org/reporting-checklists/spirit/info/#21a) | Composition of data monitoring committee (DMC); summary of its role and reporting structure; statement of whether it is independent from the sponsor and competing interests; and reference to where further details about its charter can be found, if not in the protocol. Alternatively, an explanation of why a DMC is not needed | Page 16 : Lines 280-285 |  |
| Data monitoring: interim analysis | [#21b](https://www.goodreports.org/reporting-checklists/spirit/info/#21b) | Description of any interim analyses and stopping guidelines, including who will have access to these interim results and make the final decision to terminate the trial | Page 16: Lines 273-280 |  |
| Harms | [#22](https://www.goodreports.org/reporting-checklists/spirit/info/#22) | Plans for collecting, assessing, reporting, and managing solicited and spontaneously reported adverse events and other unintended effects of trial interventions or trial conduct | Page 15-16: Lines 273-280 |  |
| Auditing | [#23](https://www.goodreports.org/reporting-checklists/spirit/info/#23) | Frequency and procedures for auditing trial conduct, if any, and whether the process will be independent from investigators and the sponsor | Page 16: Lines 280-285 |  |
| **Ethics and dissemination** | | | | |
| Research ethics approval | [#24](https://www.goodreports.org/reporting-checklists/spirit/info/#24) | Plans for seeking research ethics committee / institutional review board (REC / IRB) approval | Page 23: Lines 455-459 |  |
| Protocol amendments | [#25](https://www.goodreports.org/reporting-checklists/spirit/info/#25) | Plans for communicating important protocol modifications (eg, changes to eligibility criteria, outcomes, analyses) to relevant parties (eg, investigators, REC / IRBs, trial participants, trial registries, journals, regulators) | Page 23: Lines 458-459 |  |
| Consent or assent | [#26a](https://www.goodreports.org/reporting-checklists/spirit/info/#26a) | Who will obtain informed consent or assent from potential trial participants or authorised surrogates, and how (see Item 32) | Page 9: Lines 160-164 |  |
| Consent or assent: ancillary studies | [#26b](https://www.goodreports.org/reporting-checklists/spirit/info/#26b) | Additional consent provisions for collection and use of participant data and biological specimens in ancillary studies, if applicable | Page 23: Lines 457-458  Page 13: Lines 229-231 |  |
| Confidentiality | [#27](https://www.goodreports.org/reporting-checklists/spirit/info/#27) | How personal information about potential and enrolled participants will be collected, shared, and maintained in order to protect confidentiality before, during, and after the trial | Page 16: Lines 286-295 |  |
| Declaration of interests | [#28](https://www.goodreports.org/reporting-checklists/spirit/info/#28) | Financial and other competing interests for principal investigators for the overall trial and each study site | Page 24: Lines 463-464 |  |
| Data access | [#29](https://www.goodreports.org/reporting-checklists/spirit/info/#29) | Statement of who will have access to the final trial dataset, and disclosure of contractual agreements that limit such access for investigators | Page 23: Lines 445-451 |  |
| Ancillary and post trial care | [#30](https://www.goodreports.org/reporting-checklists/spirit/info/#30) | Provisions, if any, for ancillary and post-trial care, and for compensation to those who suffer harm from trial participation | Page 17: Lines 316-318 |  |
| Dissemination policy: trial results | [#31a](https://www.goodreports.org/reporting-checklists/spirit/info/#31a) | Plans for investigators and sponsor to communicate trial results to participants, healthcare professionals, the public, and other relevant groups (eg, via publication, reporting in results databases, or other data sharing arrangements), including any publication restrictions | Page 22: Lines 422-428 |  |
| Dissemination policy: authorship | [#31b](https://www.goodreports.org/reporting-checklists/spirit/info/#31b) | Authorship eligibility guidelines and any intended use of professional writers | Page 23: Lines 448-449 |  |
| Dissemination policy: reproducible research | [#31c](https://www.goodreports.org/reporting-checklists/spirit/info/#31c) | Plans, if any, for granting public access to the full protocol, participant-level dataset, and statistical code | Page 22: Lines 427-428 |  |
| **Appendices** | | | | |
| Informed consent materials | [#32](https://www.goodreports.org/reporting-checklists/spirit/info/#32) | Model consent form and other related documentation given to participants and authorised surrogates |  | N/A: See attachment |
| Biological specimens | [#33](https://www.goodreports.org/reporting-checklists/spirit/info/#33) | Plans for collection, laboratory evaluation, and storage of biological specimens for genetic or molecular analysis in the current trial and for future use in ancillary studies, if applicable |  | N/A: See attachment |

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](http://www.creativecommons.org/licenses/by-nc-nd/3.0/)” license. This checklist can be completed online using https://www.goodreports.org/, a tool made by the EQUATOR Network in collaboration with Penelope.ai