

Educational concerns about the safety of cataract surgery during residency: the E3CAPS pedagogic study

Jean-Baptiste Ducloyer^{1,2,*}; Alexandra Poinas^{2,*}; Léa Duchesne³ ; Pascal Caillet³; Catherine Ivan^{1,2}; Corinne Lejus Bourdeau⁴; Nadège Limousin⁵; Thomas Desmidt⁶; Patrick Pladys⁷; Pierre-Jean Pisella⁸; Anne Bernard⁹; Hubert Lardy¹⁰; Philippe Gohier¹¹; Ludovic Martin¹²; Frederic Mouriaux¹³; Pierre Lebranchu^{1,2}; Raoul Kanav Khanna¹⁴

E3CAPS group

*Corresponding author; : Alexandra Poinas; alexandra.poinas@chu-nantes.fr

Institutional affiliations

¹ Nantes University, CHU Nantes, ophthalmology department, Nantes France

² Nantes University, CHU Nantes, Inserm, CIC 1413, Nantes France

³ Nantes University, CHU Nantes; Public Health Department, Nantes, France

⁴ Nantes University, CHU Nantes, Department of Anaesthesia and Intensive care

⁵ Department of Neurology and Clinical Neurophysiology, University Hospital Bretonneau, Tours, France

⁶ UMR 1253, IBrain, Université de Tours, Inserm, Tours, France; CHU de Tours, Tours, France

⁷ Univ Rennes, CHU Rennes, Inserm, LTSI-UMR 1099, Rennes, France

⁸ Department of Ophthalmology, Centre Hospitalier Régional Universitaire de Tours, Bretonneau Hospital, 37000 Tours, France

⁹ Department of Cardiology, Tours University Hospital, Tours, France.

¹⁰ Division of Pediatric Surgery, CHU-Centre de Pédiatrie de Clocheville, Tours, France

¹¹ Department of Ophthalmology, CHU de Angers, 49100, Angers, France

¹² Department of Dermatology and All'Sims Centre for Healthcare Simulation, Angers University Hospital, Angers, France.

¹³ Ophthalmology Dept, CHU Rennes, Université Rennes 1, Rennes, France

¹⁴ Department of Ophthalmology, Bretonneau University Hospital of Tours; UMR 1253, iBrain; Tours, France

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 <i>see Title Page</i>
Trial registration	2a	Trial identifier and registry name. If not yet registered, name of intended registry <i>see Abstract – Trial Registration</i>
	2b	All items from the World Health Organization Trial Registration Data Set <i>Item 1 → see Abstract – Registration details</i> <i>Item 2 → Ditto item 1</i> <i>Item 3 → Not Applicable</i> <i>Item 4 → see Ethics and Dissemination</i> <i>Item 5 → see Ethics and Dissemination</i> <i>Item 6 → Not Applicable</i> <i>Item 7 → Pg 1 Corresponding author</i> <i>Item 8 → Pg 1 first and last authors</i> <i>Item 9 → see Acknowledgements</i> <i>Item 10 → Ditto item 9</i> <i>Item 11 → see Trial Design</i> <i>Item 12 → see Background</i> <i>Item 13 → see Study Setting</i> <i>Item 14 → see Sample collection</i> <i>Item 15 → see Trial design</i> <i>Item 16 → see Ethics and Dissemination</i> <i>Item 17 → see Sample Size</i> <i>Item 18 → see Ethics and Dissemination</i> <i>Item 19 → see Study objectives</i> <i>Item 20 → Ditto item 19</i> <i>Item 21 → See Ethics and Dissemination</i> <i>Item 22 → Ditto item 21</i> <i>Item 23 → Ditto item 21</i> <i>Item 24 → Ditto item 21</i>
Protocol version	3	Date and version identifier <i>see Ethics and Dissemination</i>
Funding	4	Sources and types of financial, material, and other support <i>Ditto item 3</i>

Roles and responsibilities	5a	Names, affiliations, and roles of protocol contributors <i>see Authors' Affiliations</i>
	5b	Name and contact information for the trial sponsor <i>see Ethics and dissemination</i>
	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 <i>Ditto item 5b</i>
	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) <i>Not applicable</i>

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 <i>see Background</i>
	6b	Explanation for choice of comparators <i>see Study Setting</i>
Objectives	7	Specific objectives or hypotheses <i>see Study Objectives</i>
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) <i>see Trial Design</i>

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 <i>see Trial Design and Sample Selection</i>
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) <i>see Sample Selection</i>
Interventions	11a	Interventions for each group with sufficient detail to allow replication, including how and when they will be administered <i>see Study Setting</i>
	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) <i>Not applicable</i>

	11c	Strategies to improve adherence to intervention protocols, and any procedures for monitoring adherence (eg, drug tablet return, laboratory tests) <i>Not applicable</i>
	11d	Relevant concomitant care and interventions that are permitted or prohibited during the trial <i>Not applicable</i>
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 <i>see Planned outcomes</i>
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) <i>see Study Setting Figure 1 and table 1</i>
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 <i>see Sample size</i>
Recruitment	15	Strategies for achieving adequate participant enrolment to reach target sample size <i>Not applicable</i>

Methods: Assignment of interventions (for controlled trials) *Not applicable*

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

Methods: Data collection, management, and analysis

Data collection methods	18a	Plans for assessment and collection of outcome, baseline, and other trial data, including any related processes to promote data quality (eg, duplicate measurements, training of assessors) and a description of study instruments (eg, questionnaires, laboratory tests) along with their reliability and validity, if known. Reference to where data collection forms can be found, if not in the protocol see Description of the score used
	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 Not applicable
Data management	19	Plans for data entry, coding, security, and storage, including any related processes to promote data quality (eg, double data entry; range checks for data values). Reference to where details of data management procedures can be found, if not in the protocol see Data management
Statistical methods	20a	Statistical methods for analysing primary and secondary outcomes. Reference to where other details of the statistical analysis plan can be found, if not in the protocol see Data analysis
	20b	Methods for any additional analyses (eg, subgroup and adjusted analyses) Not applicable
	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) Not applicable

Methods: Monitoring

Data monitoring	21a	Composition of data monitoring committee (DMC); summary of its role and reporting structure; statement of whether it is independent from the sponsor and competing interests; and reference to where further details about its charter can be found, if not in the protocol. Alternatively, an explanation of why a DMC is not needed – Not applicable
	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 Not applicable
Harms	22	Plans for collecting, assessing, reporting, and managing solicited and spontaneously reported adverse events and other unintended effects of trial interventions or trial conduct Not applicable
Auditing	23	Frequency and procedures for auditing trial conduct, if any, and whether the process will be independent from investigators and the sponsor Not applicable

Ethics and dissemination

Research ethics approval	24	Plans for seeking research ethics committee/institutional review board (REC/IRB) approval see Ethics and dissemination
Protocol amendments	25	Plans for communicating important protocol modifications (eg, changes to eligibility criteria, outcomes, analyses) to relevant parties (eg, investigators, REC/IRBs, trial participants, trial registries, journals, regulators) Not applicable
Consent or assent	26a	Who will obtain informed consent or assent from potential trial participants or authorised surrogates, and how (see Item 32) see Trial design and sample selection
	26b	Additional consent provisions for collection and use of participant data and biological specimens in ancillary studies, if applicable Not applicable
Confidentiality	27	How personal information about potential and enrolled participants will be collected, shared, and maintained in order to protect confidentiality before, during, and after the trial see Sample selection and Data analysis
Declaration of interests	28	Financial and other competing interests for principal investigators for the overall trial and each study site see Ethics and Dissemination
Access to data	29	Statement of who will have access to the final trial dataset, and disclosure of contractual agreements that limit such access for investigators see Ethics and Dissemination
Ancillary and post-trial care	30	Provisions, if any, for ancillary and post-trial care, and for compensation to those who suffer harm from trial participation Not applicable
Dissemination policy	31a	Plans for investigators and sponsor to communicate trial results to participants, healthcare professionals, the public, and other relevant groups (eg, via publication, reporting in results databases, or other data sharing arrangements), including any publication restrictions see Ethics and Dissemination
	31b	Authorship eligibility guidelines and any intended use of professional writers see Ethics and Dissemination
	31c	Plans, if any, for granting public access to the full protocol, participant-level dataset, and statistical code see Ethics and Dissemination

Appendices

Informed consent materials	32	Model consent form and other related documentation given to participants and authorised surrogates see Sample selection
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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	Not applicable
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*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.