

# Short term effects of synchronized vs. non-synchronized NIPPV in preterm infants: study protocol for an unmasked randomized crossover trial.

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## Study protocol

**Keywords:** Non-invasive ventilation, NIPPV, SNIPPV, Synchronization, Cardiorespiratory events, Preterm infants, RDS

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1       **Short term effects of synchronized vs. non-synchronized NIPPV in**  
2       **preterm infants: study protocol for an unmasked randomized**  
3       **crossover trial.**

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18

19       **Abstract**

20       **Background:**

21 Non-invasive ventilation (NIV) has been recommended as the best respiratory support for  
22 preterm infants with respiratory distress syndrome (RDS). However, the best NIV technique to  
23 be used as first intention in RDS management is not yet established.

24 Nasal intermittent positive pressure ventilation (NIPPV) may be synchronized (SNIPPV) or non-  
25 synchronized to the infant's breathing efforts.

26 The aim of the study is to evaluate short-term effects of SNIPPV vs NIPPV on cardiorespiratory  
27 events, trying to identify the best ventilation modality for preterm infants at their first approach  
28 to NIV ventilation support.

29 **Methods:**

30 An unmasked randomized crossover study with two treatment phases was designed. All newborn  
31 infants < 32 weeks of gestational age with RDS needing NIV ventilation as first intention or after  
32 extubation will be consecutively enrolled in the study and randomized to the NIPPV or SNIPPV  
33 arm. After stabilization, enrolled patients will be alternatively ventilated with two different  
34 techniques for two time frame of 4 hours each. NIPPV and SNIPPV will be administered with the  
35 same ventilator and the same interface, maintaining a continuous assisted ventilation without  
36 patient's discomfort.

37 During the whole study duration, patient cardiorespiratory data and data from the ventilator  
38 will be simultaneously recorded using a polygraph connected to a computer.

39 The primary outcome is the frequency of episodes of oxygen desaturation. Secondary outcomes  
40 are number of cardiorespiratory events, FiO<sub>2</sub> necessity, newborn pain score evaluation,  
41 synchronization index and thoracoabdominal asynchrony. The sample size was calculated at 30  
42 patients.

43 **Discussion:**

44 It is known that NIPPV produces a percentage of ineffective acts due to asynchronies between  
45 ventilator and infant's breaths. On the other hand, an ineffective synchronization could  
46 increase work of breathing. Our hypothesis is that an efficient synchronization could reduce the  
47 respiratory work and increase the volume per minute exchanged without interfering with the  
48 natural respiratory rhythm of the patient with RDS. The results of this study will allow us to  
49 evaluate the effectiveness of the synchronization, demonstrating whether SNIPPV is the most  
50 effective non-invasive ventilation mode in preterm infants with RDS at their first approach to  
51 NIV ventilation.

52 **Trial registration:** ClinicalTrials.gov, NCT03289936. Registered on 09/21/2017.

53 **Keywords:** Non-invasive ventilation, NIPPV, SNIPPV, Synchronization, Cardiorespiratory events,  
54 Preterm infants, RDS

55

56 **Background**

57 Respiratory problems are one of the major issues to deal with in preterm infants (1).

58 Because of the immaturity of respiratory mechanisms and structures, the use of supporting  
59 devices is often necessary. These include both conventional mechanical ventilation (MV)  
60 techniques, which require the use of an endotracheal tube, as well as non-invasive ventilation  
61 (NIV) techniques that use softer ventilator-patient interfaces. Increasing attention is paid to the  
62 latter ones as less aggressive and associated with better outcomes both in terms of mortality and  
63 short and long-term complications, such as bronchopulmonary dysplasia (BPD) (2,3).

64 Nasal intermittent positive pressure ventilation (NIPPV) is a NIV technique in which infant  
65 airways are kept open between two pressure levels: peak inspiratory pressure (PIP) and positive  
66 end expiratory pressure (PEEP) (4,5). The frequency and duration of each phase are defined by  
67 setting the inspiratory and expiratory times or the ventilation rate.

68 This technique has already shown its superiority in terms of reduced duration of MV, reduced  
69 necessity of intubation, decreased extubation failure and reduced prevalence of BPD if compared  
70 with non-invasive techniques based on continuous pressure support, such as continuous positive  
71 airway pressure (CPAP) (6). Recent meta-analyses of studies where NIPPV has been used as an  
72 alternative to CPAP following extubation show that it reduces need for re-ventilation and air leaks  
73 but without any reduction in BPD (7): there is insufficient evidence to recommend NIPPV as  
74 primary mode of respiratory support in the delivery room (1).

75 It should be specified that the ventilation rate on NIPPV does not reflect the real infant's  
76 spontaneous respiratory rate (RR), as the ventilator supplies the PIP regardless of respiratory  
77 efforts. In order to reproduce a more physiological and gentle ventilation, new devices able to  
78 detect infant's respiratory effort and consequently supply a PIP have been developed,  
79 synchronizing the ventilation rate with infant's RR.

80 The devices used for synchronization can identify infant's respiratory effort by detecting variation  
81 in flow or pressure. While in MV the exact beginning of inspiration can be detected through a  
82 continuous monitoring of pressure or through the precise interception of inspiratory and  
83 expiratory flow some difficulties occur in NIV where, as a consequence of the impossibility to  
84 detect expiratory flow, the moment of the exact beginning of spontaneous inspiration is hard to  
85 identify.

86 Recently, a new type of NIV ventilator equipped with a pressure sensor has been put on the  
87 market. The software of this ventilator is able to calculate the flow according to the pressure  
88 variations of the circuit and to capture the flow variations induced by spontaneous breathing  
89 allowing a synchronization of the flow with the patient's respiratory acts (8).

90 The use of a synchronized NIV technique would allow a more physiological respiratory support,  
91 reducing respiratory fatigue and improving infant's compliance. Despite these premises, the  
92 diffusion of synchronized NIPPV in neonatal intensive care units (NICUs) and works on its efficacy  
93 are limited (9).

94 Some authors have already demonstrated the benefits of using a synchronized NIV technique in  
95 terms of extubating success rate, BPD prevalence, mortality and neurocognitive development  
96 (2,8). Synchronized NIPPV (SNIPPV) seems more effective than NIPPV and NCPAP in reducing  
97 need for intubation in respiratory distress syndrome (RDS), in improving the success of  
98 extubation and in treating apnea of prematurity, with a reassuring absence of relevant side  
99 effects (7,8,10). Synchronised NIPPV delivered through a ventilator can reduce extubation failure  
100 but may not confer long-term advantages such as reduction in BPD (1). Other reported  
101 advantageous aspects of SNIPPV include improved thoracoabdominal synchrony, reduced work  
102 of breathing (WOB) and reduced need of intubation (5,7,11).

103 It has already been shown that SNIPPV is more effective than NIPPV and CPAP in reducing the  
104 number of desaturations and apnoea in preterm infants undergoing CPAP treatment for  
105 prematurity apnoea (12). However, the effectiveness of SNIPPV compared to NIPPV in preterm  
106 infants with RDS is still not completely clear.

107 Our study protocol was designed to evaluate the short-term effects of SNIPPV vs NIPPV on the  
108 major cardio-respiratory variables, trying to identify the best ventilation modality for preterm  
109 infants at their first approach to NIV ventilation support, on the bases of cardio-respiratory  
110 events reduction and fraction of inspired oxygen (FiO<sub>2</sub>) request.

111

## 112 **Methods**

### 113 Aims

114 Evaluate short-term effects of SNIPPV vs NIPPV in a group of preterm infants on cardiorespiratory  
115 events at their first approach to NIV ventilation as first intention (soon after birth) or after  
116 extubation.

### 117 Study design and setting

118 The study has been designed as an unmasked randomized crossover study. It will involve the  
119 neonatal intensive care unit (NICU) of the University of Turin.

### 120 Inclusion criteria

121 All newborn infants with RDS needing NIV ventilation (NIPPV or SNIPPV) as first intention or after  
122 extubation and with all following characteristics will be consecutively enrolled in the study:

123 - gestational age (GA) at birth <32 weeks

124 - first approach to NIV ventilation (primary or after extubation)

125 - parental written consent

### 126 Exclusion criteria

127 The following are the study exclusion criteria:

128 1. Neurological (including IVH > 2° grade) or surgical diseases

- 129 2. Sepsis (clinical or laboratory confirmed)
- 130 3. Chromosomal or genetic abnormalities
- 131 4. Major malformations and congenital anomalies
- 132 5. Cardiac problems (including hemodynamically significant PDA)
- 133 6. Contraindication to NIV (i.e. nasal trauma and gastrointestinal surgery within the previous 7
- 134 days).

135 Recruitment and randomization

136 Informed written consent will be signed by both parents, and sufficient time will be allowed for

137 consent. Non-Italian-speaking parents will only be asked for their consent if an adult interpreter

138 is available. Trust interpreter and link worker services will be used to support involvement of

139 participants whose first language is not Italian.

140 The decision to use a NIV support will be based on clinical evaluation. At starting of NIV, eligible

141 patients will be allocated to one of the two arms (NIPPV or SNIPPV) by block randomization. A

142 custom software will be used to obtain a casual sequence to randomize patients in both arms,

143 creating a balance between patients needing NIV as first intention or after extubating.

144 After 2 hours of stabilization (stabilization phase) in NIV mode assigned by randomization,

145 enrolled patients will be alternatively ventilated with two different techniques for two time frame

146 of 4 hours each. In case of needing surfactant, the stabilization phase will be 4 hours after

147 administration.

148 Infants will be kept supine throughout the study. During the whole study duration (including

149 stabilization phase), all patients will be continuously monitored with a multiparametric monitor,

150 recording also data from the ventilator. The first hour of each NIPPV/SNIPPV time frame will be

151 considered as wash-out phase and named “adaptation phase”: data recorded during this phase  
152 will be excluded from the analysis. Milk meals will be administered during the adaptation  
153 phase.

154 Pain and compliance scales will be filled in by nurses every 60 minutes. EGA values will be  
155 recorded at the end of the stabilization phase, at the end of Phase A (first NIV modality) and  
156 Phase B (second NIV modality).

157 Patients will drop out of the study in case of:

- 158 1. NIV failure criteria:  $FiO_2 > 40\%$ ,  $pH < 7.2$ ,  $pCO_2 > 65\text{mmHg}$ ,  $\geq 3$  episodes of  
159 desaturations (transcutaneous O<sub>2</sub> saturation (SatO<sub>2</sub> TC)  $< 80\%$ ) per hour,  $\geq 3$  episodes  
160 of apnea ( $> 20$  seconds) and/or bradycardia (heart rate (HR)  $< 80$  beats per minute  
161 (bpm)) per hour, Silverman score  $> 6$ . Necrotizing enterocolitis, bowel perforation, and  
162 hemodynamic instability are indications of NIV failure (13)
- 163 2. Air leak syndrome (i.e. pneumothorax)
- 164 3. Needing of invasive procedures during the study
- 165 4. Needing of surfactant during the study
- 166 5. Development of hemodynamic instability or surgical problems during the study
- 167 6. Death

168 Data obtained from dropouts (patients who drop out of the study) will be analysed separately.

169 After 8 hours of study, each patient will be ventilated with the best NIV modality according to  
170 clinical data and cardio-respiratory parameters observed during the study.

171 The design of the study is outlined in Figure 1.

172 Techniques

173 *NIV ventilator*

174 NIPPV is a non-invasive ventilation technique in which PIP administration is not synchronized  
175 with infant's respiratory efforts. SNIPPV is a non-invasive ventilation technique in which PIP  
176 administration is synchronized with infant's respiratory efforts.

177 NIPPV and SNIPPV will be delivered using a Giulia® neonatal ventilator via nasal prongs (Ginevri  
178 Medical Technologies, Rome, Italy). With this device, clinicians can switch from NIPPV to  
179 SNIPPV mode and vice versa without changing the circuit and the ventilation interface avoiding  
180 discomfort for the patient. The size of the nasal prongs will be determined by the infant's  
181 weight and characteristics to minimize nasal leak as per the manufacturer's recommendation.

182 In SNIPPV mode, the synchronization will be achieved through an algorithm based on flow  
183 detection through a fixed orifice pneumotachograph (2.5 mm inner diameter—dead space 1 mL)  
184 interposed between the prongs and the Y piece (flow-SNIPPV).

185 The optimal NIV setup will be decided by the clinicians and individualized for each patient  
186 during the stabilization phase in order to obtain the lowest FiO<sub>2</sub> levels necessary to reach SatO<sub>2</sub>  
187 TC of 90-94%, then the values of PEEP, PIP, backup RR, flow and inspiratory time will be kept  
188 constant during phases A and B.

189 *Polygraphy*

190 The Embletta® MPR PG (PG (Multi Parameter Recorder - Polygraphy) - XS is a multiparametric  
191 polygraph to record patient's CG trace (to calculate HR), FiO<sub>2</sub>, pulse-oximeter (to obtain HR and  
192 SatO<sub>2</sub> TC), respiratory curve (thoracic impedance, through which RR is calculated). The Embletta  
193 will be also interfaced with Giulia® ventilator by using a custom interface (Ginevri Medical

194 Technologies, Rome, Italy) to obtain from Giulia® ventilator three analogue outputs channels  
195 (trigger, pressure, flow).

196 Data from Embletta will be analysed by a designed software provided by the manufacturer.

#### 197 Monitoring and data collection

198 Data on respiratory support and overall clinical status will be collected from enrolment to  
199 discharge.

200 Data will be recorded consecutively by polygraph from enrolment to the end of study.

201 All data to be collected will be obtained from the clinical records and from the Embletta® MPR  
202 PG-XS. Data will be recorded on a database specifically designed for this study. Access to the  
203 database will be password protected. Participants will be identified by trial number only. All data  
204 recorded throughout the study period are listed in Table 1.

205 A statistical investigator without clinical role will be identified to monitor and oversee the trial.

#### 206 Cardiorespiratory events

207 Cardiorespiratory events are defined as episodes of apnea lasting more than 20 seconds or over  
208 5 seconds if followed by desaturation or bradycardia and/or episodes of desaturation with  
209 blood oxygen saturation below 80% for 4 seconds or more and/or episodes of bradycardia with  
210 HR below 80 bpm.

#### 211 Outcomes

212 The primary outcome of the study is the frequency of episodes of desaturation.

213 Secondary outcomes are listed below:

214 1. Number of cardiorespiratory events (apnea, bradycardia, oxygen desaturation)

- 215 2. FiO<sub>2</sub> needing during SNIPPV vs NIPPV monitoring to maintain SatO<sub>2</sub> TC between 90 and  
216 94%, defined as mean fraction of inspired oxygen, expressed in percentage.
- 217 3. Newborn pain score evaluation during SNIPPV vs NIPPV monitoring, using Neonatal Pain  
218 Scale Score.
- 219 4. Synchronization index, defined as the percentage of spontaneous breaths supported by  
220 ventilator.
- 221 5. Patient-ventilator concordance, defined as the time between the onset of the patient's  
222 inspiratory effort and mechanical inflation in synchronized ventilation.
- 223 6. Thoracoabdominal asynchrony, defined as the phase difference between thoracic and  
224 abdominal impedance.

225 Dropout patients will be considered to establish frequency of NIV failure, NIV weaning and need  
226 of surfactant during each phase of the study.

227 The main result will be the difference in cardio-respiratory events during SNIPPV versus NIPPV.

228 Tolerance to each of the two NIV modalities will be evaluated by evaluating the number of failure  
229 episodes and of cardio-respiratory events and analysing the scores for individual compliance and  
230 pain. The individual need for oxygen under the two modalities of NIV will be evaluated as a known  
231 risk factor for premature retinopathy and various other complications.

232 The Standard Protocol Items: Recommendations for Interventional Trials (SPIRIT) figure of  
233 enrolment, interventions, and assessments is shown in Figure 2. The SPIRIT checklist is provided  
234 as Additional file 1.

235 Statistical analysis and sample size

236 Descriptive variables will be analysed in function of their distribution. T student test or Mann  
237 Whitney U test in case of continuous variables (if normally or not normally distributed  
238 respectively) and chi-squared or fisher test for qualitative ones. All test will be two-sided with a  
239 significance threshold of 0.05.

240 A subgroup analysis will be performed according to time of NIV support (primary ventilation or  
241 after extubation).

242 The number of patients to be enrolled is calculated considering clinically relevant a difference of  
243 30% in cardio-respiratory events between the two ventilation modalities. Assuming a mean of 5  
244 and a SD of 1.5 events/hour (based on available literature data), the number of patients to be  
245 enrolled is 30, to obtain an 80% power and a significance threshold of 0.05.

246

## 247 **Quality control and quality assurance procedures**

### 248 Compliance to protocol

249 Compliance will be defined as full adherence to protocol. Compliance with the protocol will be  
250 ensured by a number of procedures as described.

### 251 Site setup

252 Principal investigators will participate in preparatory meetings in which details on study protocol,  
253 non-invasive ventilation, multiparametric polygraph and data collection will be accurately  
254 discussed with all NICU staff, including nursing and medical staff.

### 255 Safety

256 Safety endpoints will include incidence, severity, and causality of reported significant adverse  
257 events (SAEs). All SAEs will be followed until satisfactory resolution or until the investigator

258 responsible for the care of the participant deems the event to be chronic or the patient to be  
259 stable. All expected and unexpected SAEs, whether or not they are attributable to the study  
260 intervention, will be reviewed by the principal investigators to determine if there is a reasonable  
261 suspected causal relationship with the intervention. If the relationship is reasonable, SAEs will be  
262 reported to the ethics committee and inform all other investigators to guarantee the safety of  
263 the participants.

264

## 265 **Discussion**

266 The European Consensus Guidelines on the Management of Respiratory Distress Syndrome  
267 recommend NIV as the best respiratory support for preterm infants with RDS (1).

268 It is well known that the NIV is a valid tool to reduce the duration and the need for MV. The  
269 reduction in MV is closely related to the development of ventilator lung injury and  
270 complications such as BPD. Early switching from the MV to the NIV has been advocated, even  
271 for extremely preterm infants (14). Therefore, it is desirable to identify the best type of NIV to  
272 be used at birth or after extubation.

273 The popularity of NIPPV is rising since its comparison to NCPAP has demonstrated significant  
274 decrease in respiratory failure, re-intubation rates and extubation failure (6). However, there is  
275 insufficient evidence to recommend NIPPV as primary mode of respiratory support in the  
276 delivery room (1).

277 Synchronisation may be important in delivering effective NIPPV: studies using SNIPPV and  
278 delivering NIPPV to infants by a ventilator observed benefits more consistently (7).

279 The periodic breaths of NIPPV increase tidal volume leading to enhanced removal of CO<sub>2</sub>,  
280 sustained alveolar ventilation during episodes of apnea and increased functional residual  
281 capacity (FRC) (4,15). Asynchronies between ventilator and infant breaths may alter  
282 spontaneous breath rhythm, induce glottal narrowing, increase WOB, increase abdominal  
283 distension and cause volutrauma. SNIPPV seems to be associated with an increased tidal and  
284 minute volumes when compared to NCPAP (16). It has also been demonstrated that SNIPPV  
285 recruits collapsed alveoli, thereby increasing FRC and decreasing the need for MV (17). Several  
286 explanations may account for the effectiveness of SNIPPV: decreased thoracoabdominal motion  
287 asynchrony and flow resistance through the nasal prongs, with improved stability of the chest  
288 wall and pulmonary mechanics, increased flow delivery in the upper airway with the addition of  
289 a PIP above PEEP (18).

290 Synchronization during nasal ventilation is considered to provide a more efficient respiratory  
291 support and synchrony. One of the first studies to demonstrate WOB reduction in preterm  
292 infants with the use of SNIPPV was done more than 10 years ago (19). Huang et al. (20)  
293 supported these benefits of synchronized ventilation achieved by using a Graseby capsule,  
294 showing an improved gas exchange and a decreased respiratory effort.

295 Compared to CPAP and NIPPV, SNIPPV is more effective in reducing desaturation and apnoea;  
296 compared to CPAP, SNIPPV reduce risk of BPD, of extubation failure and of severe retinopathy  
297 of prematurity (16,21).

298 Gizzi et al. compared the effects of flow-SNIPPV, NIPPV and NCPAP on the rate of desaturations  
299 and bradycardias in preterm infants with apnoeic spells (mean gestational age at study 30  
300 weeks) (12). A randomised crossover study with three treatment phases was conducted:

301 patients received the three mode of ventilation for 4 hours each, using a nasal conventional  
302 ventilator able to provide synchronisation by a pneumotachograph (Giulia® ventilator; GINEVRI  
303 srl, Albano Laziale, Rome, Italy). Flow-SNIPPV has been shown to reduce desaturation and  
304 apnea in CPAP infants (12).

305 SNIPPV may be superior to NIPPV even in patients with RDS, as first intention (soon after birth)  
306 or after extubation.

307 As first intention, flow-SNIPPV combined to surfactant seemed to be a promising strategy for  
308 treating infants in the acute phase of RDS (22). However, a recent meta-analysis showed that  
309 early NIPPV does appear to be superior to NCPAP alone for decreasing respiratory failure and  
310 the need for intubation, without any additional benefits with SNIPPV (10). Recently, Handoka et  
311 al. reported grade of RDS, mean airway pressure and antenatal steroid use as the predictors of  
312 early SNIPPV failure (18).

313 A lower WOB is an important consideration when choosing which non-invasive mode should be  
314 used to support preterm infants immediately after extubation. SNIPPV and NIPPV delivered by  
315 a ventilator demonstrated short-term benefit for extubation failure and long-term pulmonary  
316 effects for BPD and pulmonary air leaks (7). SNIPPV post-extubation reduced the WOB and  
317 thoracoabdominal asynchrony (5,11).

318 Several fans are currently available for SNIPPV. The Giulia® ventilator (GINEVRI srl, Albano  
319 Laziale, Rome, Italy) is one of them, providing a flow-SNIPPV. The Giulia® uses a pressure  
320 sensor. The trigger quality of this system is not known.

321 It is known that NIPPV produces a percentage of ineffective acts because they are not  
322 synchronized with patient's acts. On the other hand, a bad synchronization system could have

323 the effect of increasing respiratory work. Our hypothesis is that a valid synchronization could  
324 reduce the respiratory work and increase the volume per minute exchanged without interfering  
325 with the natural respiratory rhythm of the infant with RDS. A randomised crossover study with  
326 two treatment phases will be conducted to evaluate short-term effects of SNIPPV vs NIPPV in a  
327 group of preterm infants on cardiorespiratory events at their first approach to NIV ventilation  
328 as first intention or after extubation.

329 The results of this study will allow us to evaluate the effectiveness of the synchronization  
330 obtained by the flow-SNIPPV.

331 The results of this study will demonstrate whether synchronization is the most effective  
332 ventilation mode even in preterm infants with RDS.

333

#### 334 **Trial status**

335 The protocol is syncNIPPV17 version no. 1.6. The recruitment is expected to begin on 1  
336 September 2020. The time expected to complete the recruitment is about 31 August 2021.

337

#### 338 **Abbreviations**

339 BPD: bronchopulmonary dysplasia; Bpm: beats per minute; CPAP: continuous positive airway  
340 pressure; flow-SNIPPV: flow-synchronized nasal intermittent positive pressure ventilation; FiO<sub>2</sub>:  
341 fraction of inspired oxygen; FRC: functional residual capacity; GA: gestational age; HR: heart rate;  
342 MV: mechanical ventilation; NICU: neonatal intensive care unit; NIPPV: nasal intermittent  
343 positive pressure ventilation; NIV: non-invasive ventilation; PEEP: positive end expiratory  
344 pressure; PIP: peak inspiratory pressure; RDS: respiratory distress syndrome; RR: respiratory rate;

345 SatO2 TC: transcutaneous O2 saturation; SNIPPV: synchronized Nasal intermittent positive  
346 pressure ventilation; WOB: work of breathing; SAEs: significant adverse events

347

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349 Not applicable.

350

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352 Not applicable.

353

354 **Availability of data and materials**

355 The datasets generated during the current study are available from the corresponding author on  
356 reasonable request.

357

358 **Authors' contributions**

359 FCr, FCh and EM conceptualized and designed the study, drafted the initial manuscript, and  
360 approved the final manuscript as submitted. SMB, EM, GM and CP reviewed and revised the  
361 manuscript and approved the final manuscript as submitted. MF collaborated to design the study  
362 and approved the final manuscript as submitted. AC and EB critically reviewed the manuscript  
363 and approved the final manuscript as submitted. All authors read and approved the final  
364 manuscript.

365

366 **Ethics approval and consent to participate**

367 Study protocol was approved with the approval number 0077664 on 7 August 2017 by the ethics  
368 committee of the neonatal intensive care unit (Comitato Etico Interaziendale – AOU Città della  
369 Salute e della Scienza di Torino; phone: + 39.011.6336547; email:  
370 [comitatoetico@cittadellasalute.to.it](mailto:comitatoetico@cittadellasalute.to.it)). Written, informed consent to participate will be obtained  
371 from all participants' parents/legal guardian.

372

### 373 **Consent for publication**

374 Not applicable.

375

### 376 **Competing interests**

377 Engineer Mattia Ferroglio declares to have a contract with GINEVRI srl as responsible for  
378 technical assistance for the Piedmont region. All the other authors declare that they have no  
379 competing interests.

380

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453

454 **Figures**

455 **Figure 1.** Study design

456 **Figure 2.** Spirit figure

457

458 **Tables**

459 **Table 1.** Data recorded before and during the study period

<b>Before enrolment</b>	<b>During the study period</b>
<u>ANAMNESTIC VARIABLES</u>	<u>CARDIO-RESPIRATORY VARIABLES</u>
- GA at birth	- FiO <sub>2</sub> to maintain SatO <sub>2</sub> TC 90-94% (as weighted mean)
- birth weight	- NIV failure <sup>a</sup> and endotracheal intubation
- delivery type	- Number of cardiorespiratory events <sup>b</sup>
- APGAR at 1/5 minutes (and 10 minutes if available)	<u>OTHER POLYGRAPH VARIABLES (continuous monitoring)</u>
- presence of intrauterine growth restriction	- HR
- maternal administration of magnesium sulphate	- RR
- steroid prenatal prophylaxis (number of doses)	- SatO <sub>2</sub> TC
- intrapartum antibiotic prophylaxis (if indicated)	- thoracic impedance
- presence of intraamniotic infection and administration of intrapartum antibiotic therapy	- from ventilator: trigger, pressure, flow
<u>CLINICAL VARIABLES</u>	- pressure in ventilator circuit
- surfactant administration (time and number of doses)	<u>CLINICAL VARIABLES</u>
- type and duration of MV previously administered (if any)	- Neonatal Pain Scale score
- type and duration of NIV previously administered (if any)	<u>LABORATORISTIC VARIABLES</u>
	- EGA values at the end of stabilization phase, Phase A and Phase B

- 
- corrected GA at enrolling
  - caffeine doses administered (if any)
- 

460 *GA* gestational age, *MV* mechanical ventilation, *NIV* non-invasive ventilation, *SatO2 TC* transcutaneous O2  
461 saturation, *HR* heart rate, *RR* respiratory rate  
462 <sup>a</sup>NIV failure criteria:  $FiO_2 > 40\%$ ,  $pH < 7.2$ ,  $pCO_2 > 65\text{mmHg}$ ,  $\geq 3$  episodes of desaturations ( $SatO_2 TC < 80\%$ ) per  
463 hour,  $\geq 3$  episodes of apnea ( $> 20$  seconds) and/or bradycardia ( $HR < 80$  bpm) per hour, Silverman score  $> 6$ .  
464 Necrotizing enterocolitis, bowel perforation, and hemodynamic instability are indications of NIV failure.  
465 <sup>b</sup>Cardiorespiratory events are defined as episodes of apnea lasting more than 20 seconds or over 5 seconds if  
466 followed by desaturation or bradycardia and/or episodes of desaturation with blood oxygen saturation below 80%  
467 for 4 seconds or more and/or episodes of bradycardia with HR below 80 bpm.  
468

#### 469 **Additional Files**

470 **Additional file 1.** Ethical approval document (original)

471 **Additional file 2.** Ethical approval document (translated)

472 **Additional file 3.** SPIRIT 2013 checklist: recommended items to address in a clinical trial protocol  
473 and related documents.

# Figures

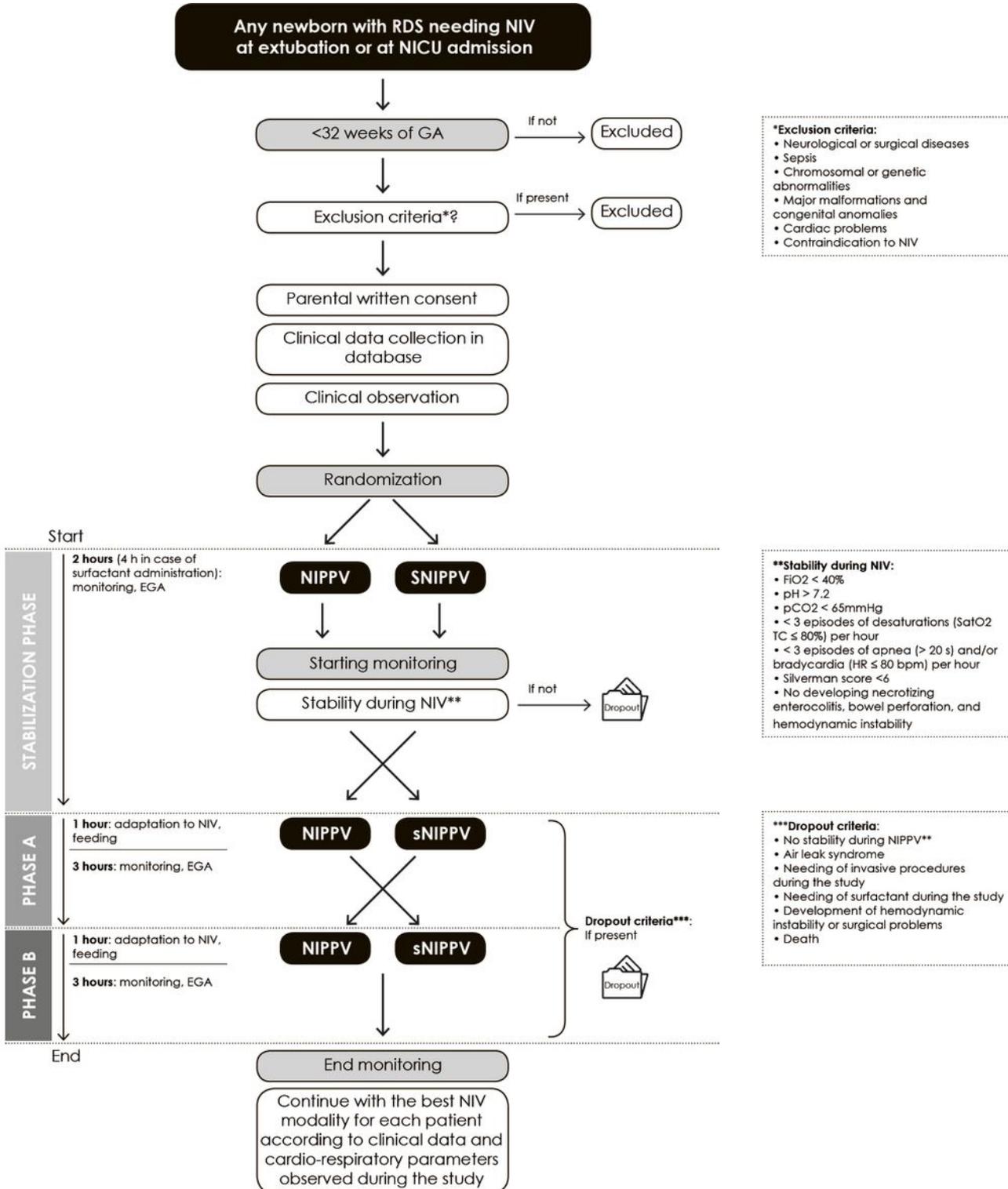


Figure 1

Study design

TIMEPOINT**	STUDY PERIOD					
	Enrolment	Allocation	Post-allocation			Close-out
	$-t_1$	0	$t_1$	$t_2$	$t_3$	$t_4$
<b>ENROLMENT:</b>						
Eligibility screen	X					
Informed consent	X					
Allocation		X				
<b>INTERVENTIONS:</b>						
<i>NIPPV(X)</i>			X	Y	X	X / Y
<i>SNIPPV(Y)</i>			Y	X	Y	X / Y
<b>ASSESSMENTS:</b>						
<i>Cardio-respiratory variables</i>			◆————◆			
<i>Multiparametric polygraph monitoring</i>		◆	————◆			
<i>Neonatal Pain Scale</i>			◆————◆			
<i>Blood gas analysis</i>			X	X	X	

- $t_1$ : enrolment period: NICU admission or at extubation
- 0: allocation
- $t_1$ : stabilization phase
- $t_2$ : phase A
- $t_3$ : phase B
- $t_4$ : study end

Figure 2

Recommendations for Interventional Trials (SPIRIT), Enrolment, interventions, and assessments

## Supplementary Files

This is a list of supplementary files associated with this preprint. Click to download.

- [SPIRITchecklist.pdf](#)