

# Sirolimus Coated angioplasty Versus Plain Balloon Angioplasty in the treatment of dialysis access dysfunction (IMPRESSION): Study Protocol for a Randomized Controlled Trial

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1 **SIroliMus Coated angioPlasty Versus Plain Balloon Angioplasty in the tREatment of dialySis acceSs**  
2 **dysfunctiON (IMPRESSION): study protocol for a randomized controlled trial**

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58 **Abstract**

59 **Background:** Percutaneous transluminal angioplasty is the current standard treatment for  
60 arteriovenous fistula (AVF) stenosis. The mid- and long-term patency with plain old balloon  
61 angioplasty (POBA) is however far from satisfactory. While paclitaxel-coated balloon  
62 angioplasty has been shown to be superior to POBA, concern over its safety profile has recently  
63 arisen after reported possible increased mortality risk with a meta-analysis of large lower limb  
64 studies. An angioplasty balloon with a new type of drug coating, the sirolimus coated balloon  
65 (SCB) has been proven to improve patency in the coronary arteries. However, its effect on AV  
66 access has yet to be studied.

67 **Methods/Design:** This is an investigator-initiated, prospective, multicenter, doubled blinded,  
68 randomized controlled clinical trial to assess the effectiveness of SCB compared to POBA in  
69 improving the patency of AVF after angioplasty. A total of 170 patients with mature AVF that  
70 requires PTA due to AVF dysfunction will be randomly assigned to treatment with a SCB or  
71 POBA at a 1:1 ratio, stratified by location of AVF and followed-up for up to 1 year. Inclusion  
72 criteria includes (1) adult patient aged 21 to 85 years who requires balloon angioplasty for  
73 dysfunctional arteriovenous fistula, (2) matured AVF, defined as being in use for at least 1 month  
74 prior to the angioplasty, (3) successful angioplasty of the underlying stenosis with POBA, defined  
75 as less than 30% residual stenosis on Digital Subtraction Angiography (DSA) and restoration of  
76 thrill in the AVF on clinical examination. Exclusion criteria include thrombosed or partially  
77 thrombosed access circuit at the time of treatment, presence of symptomatic or angiographically  
78 significant central vein stenosis that require treatment with more than 30% residual stenosis post  
79 angioplasty, and existing stent placement within the AVF circuit. The primary end point of the  
80 study is access circuit primary patency at 6 months. The secondary end points are target lesion  
81 primary patency, circuit assisted primary patency, circuit secondary patency at 3,6 and 12 months,  
82 target lesion restenosis rate at 6 months, total number of interventions, complication rate and cost

83 effectiveness. The trial is supported by Concept Medical.

84 **Discussion:** This study will evaluate the clinical efficacy and safety of SCB compared to  
85 POBA in the treatment of AVF stenosis in hemodialysis patients.

86

87 **Trial registration:** ClinicalTrials.gov Identifier: NCT04409912 on 1 June 2020

88 <https://clinicaltrials.gov/ct2/show/NCT04409912>

89 **Protocol Version:** 4

90 **Keywords**

91 Drug-coated balloon, Sirolimus, Dialysis Access Dysfunction, Hemodialysis

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108 **Background**

109           Despite significant advances in medical technologies, arteriovenous fistula (AVF)  
110 dysfunction remains a major morbidity for patients with end stage renal disease (ESRD) who are  
111 dependent on hemodialysis.(1) Neointimal hyperplasia (NIH) contributed by endothelial injury from  
112 shear stress and turbulent blood flow frequently results in clinically significant stenosis, leading to  
113 diminished blood flow and thrombosis in some accesses.(2, 3) Percutaneous transluminal angioplasty  
114 (PTA) is the current therapy of choice for AVF dysfunction. However, AVF patency rates post-PTA  
115 are often hampered by endothelial denudation and further NIH caused by mechanical dilatation of  
116 stenosis with angioplasty balloons. (3) With significant scientific advances in understanding the  
117 mechanism of AVF stenosis, medical technology innovations to improve patient care and AVF  
118 outcomes have been emerging.

119           Drug-coated balloon (DCB) devices are one of the most exciting technologies available in  
120 recent years. By inhibiting the proliferative response to the acute trauma caused by balloon  
121 angioplasty, the DCB has shown its efficacy with improved primary patency rates of AVF post-  
122 treatment. To date, several randomized controlled trials have shown the superiority of paclitaxel-  
123 coated balloon (PCB) angioplasty over conventional plain old balloon angioplasty (POBA) in the  
124 treatment of AV access stenosis (4-8). However, safety concerns had also arisen recently after a meta-  
125 analysis of lower limb studies reported higher 12-month mortality of 7.6% vs. 5.8% for paclitaxel-  
126 coated devices compared to uncoated devices. (9) Although similar risks have not been demonstrated  
127 in meta-analysis on ESRD patients receiving PCB for AVF intervention(10), the safety concern on  
128 PCB invariably may limit its use, which may affect the patency rates of AV accesses of ESRD  
129 patients. On the other hand, the use of stent-graft in hemodialysis access has shown improved patency  
130 rates in arteriovenous graft (AVG) (11-14), but its role in AVF has been controversial as it may reduce  
131 the length of vessel available for cannulation.

132 Sirolimus coated balloon (SCB), a new generation of DCB, has gained interest recently as an  
133 alternative to PCB. Clinical studies in coronary artery intervention using SCB for in-stent stenosis  
134 and small vessel disease have shown excellent procedural success and 6-month post procedural  
135 patency (15, 16). Compared to paclitaxel, sirolimus is cytostatic and has a wide therapeutic index  
136 indicating a more favorable safety profile. In addition, sirolimus has been used in ESRD patients who  
137 have received renal transplantation as immunosuppressive agents for decades at a much higher dosage  
138 than the dose on SCB.

139

#### 140 **Trial objectives**

141 The IMPRESSION study aims to examine the effectiveness and safety of SCB angioplasty  
142 compared with POBA in the treatment of AVF stenosis.

#### 143 **Trial design**

144 This multicenter, prospective, parallel, double-blinded, randomized controlled trial is an  
145 investigator-initiated study. The patients are randomized at a 1:1 ratio to receive either SCB  
146 (intervention arm) or POBA (placebo arm) following successful angioplasty of AVF stenosis.  
147 Randomization will be stratified by location of AVF (above vs below elbow) to ensure an even  
148 distribution of AVF by location between both groups.

149

#### 150 **Methods: Participants, interventions, and outcomes**

##### 151 Participants

152 The study will recruit a total of 170 patients from 3 different hospitals in Singapore over four  
153 years. The potential participants are patients who are scheduled for PTA of dysfunctional AVF by  
154 their primary physician. The potential participants will be screened for eligibility according to the  
155 inclusion and exclusion criteria for the study summarized in table 1 by study team member. Eligible  
156 patients are offered enrolment. As one of the eligibility criteria (residual stenosis < 30%) can only be

157 determined during the procedure, informed consent is taken from eligible participants before the  
158 procedure. The study team members will obtain written informed consent to participate in the study  
159 from all enrolled participants. Additional informed consent for the collection and the use of  
160 participant data will also be obtained. An enrolment number is given to each participant for the purpose  
161 of anonymization.

## 162 Interventions

163 After enrolment, the patient will undergo PTA procedures in the study sites' interventional  
164 suites equipped with a fluoroscopy machine with the ability to perform digital subtraction  
165 angiography and post-processing software for quantitative vascular analysis. Fistulograms of the  
166 entire dialysis circuit from the feeding artery, arteriovenous anastomosis to the central veins will be  
167 performed. The target lesions will be treated in the standard fashion with POBA. When there is more  
168 than one stenosis, all the lesions will be labeled and treated accordingly. Lesions are considered  
169 separate if they are separated by a gap of at least 2 cm. The operator will angioplasty each lesion with  
170 a POBA sizing that is identical to the adjacent reference vessel. Inflation time will be at least 1 minute  
171 per inflation. If there is significant residual stenosis after initial angioplasty, repeat angioplasty with  
172 a larger diameter, high-pressure, or cutting balloon may be used at the operator's discretion. In the  
173 stenotic segment adjacent to an aneurysmal segment, where the percentage of stenosis is difficult to  
174 determine, vessel diameter must reach at least 6mm to be considered for inclusion.

## 175 Randomization procedures and study devices

176 Once all the target lesions are adequately treated, as visually assessed by the operator to have  
177 less than 30% residual stenosis, the patients will be randomized, stratified to the site of AVF (above  
178 or below elbow) with a secure web-based randomization program developed by the Singapore  
179 Clinical Research Institute. Treatment allocation generated by the program will be available only  
180 upon request from the operator. The diameter of the study balloon chosen should be similar to the  
181 size of the adjacent healthy segment of the blood vessel, and balloon length selection will be at the

182 operator's discretion. The study balloons are inflated to the appropriate pressure, not exceeding the  
183 rated burst pressure, for at least 2 minutes. Completion venograms of all the target lesions are  
184 performed following treatment with study balloons.

185 The study balloons (sirolimus coated and placebo balloon) used in both arms are custom-made  
186 by the same manufacturer (Concept Medical Research Private Limited, India), have the same profile,  
187 inflation pressure, and identical packaging. In addition, the balloons are labelled as “A” and “B” to  
188 maintain the blinding. All the balloons are of the 0.035" platform and available in diameters of 5, 6,  
189 7, 8,12 mm, lengths of 60, 80,100 mm, and shaft length of 45 or 90 cm. The dosing of sirolimus on  
190 SCB is 1.25 µg/mm<sup>2</sup>.

#### 191 Blinding

192 The assigned operator performing the procedure will be different from the study member who  
193 performed treatment allocation. The participants, referring physicians, investigators assessing post-  
194 intervention outcomes, dialysis center staff, investigators performing follow-up, the operator  
195 performing the PTA and the data analysis team will be blinded to treatment allocation. During the  
196 procedure, the participant will not know which treatment they will be receiving as they will not be  
197 able to see the procedure with their views completely blocked from the operative field by sterile  
198 drapes. The operator will be instructed of which balloons (‘A’ or ‘B’) to use but they will not know  
199 whether these balloons are sirolimus coated balloons or the placebo. Only designated study  
200 coordinators handling the investigational product will know the treatment allocation as it is not  
201 feasible for them to administer the trial blinded.

#### 202 Unblinding procedure

203 Unblinding will occur at the end of the study (the 12 month follow up of the last recruited  
204 participant). At this stage, all blinded research data would have been collected and unblinding will  
205 allow the data analyses to occur. In case of an emergency requiring information on treatment  
206 allocation for patient management, the principal investigator will break the blind for the patient.

207 Screen failure and study withdrawal

208 Patients with resistant stenosis that cannot be successfully treated with balloon angioplasty,  
209 has partial thrombosis of the AVF or require stent deployment will not be eligible for randomization.  
210 Such cases are considered screen failures and will be replaced. These participants will still receive  
211 the standard care with POBA.

212 The participants are free to withdraw their consent and discontinue participation at any time  
213 during the trial without prejudice to their medical care. The data that has been collected until the time  
214 of withdrawal will be kept and analyzed to enable comprehensive evaluation and maintain the  
215 scientific validity of this study. In the event of voluntary withdrawal, the participant will be asked for  
216 permission to continue clinic follow-up for assessment of safety outcomes. Any adverse events will  
217 be monitored and treated till resolution. Participants who choose to withdraw will not be replaced. As  
218 ESRD patients have a risk of sudden death, if any study participant passes away during their study  
219 participation, they will automatically be considered as study withdrawals and replaced.

220 Post-procedure assessment and follow-up

221 *Immediate assessment*

222 As ultrasound is used as an imaging tool to monitor the AVF post intervention for the study ,  
223 ultrasound assessment of the AVFs will be performed by a trained operator to document the diameter  
224 of the vessels within 24 hours post PTA. Volume flow rates at the mid-brachial artery and venous  
225 outflow will be recorded. The minimum diameter of each target lesion will be recorded.

226 *3-, 6- and 12-month assessment*

227 All participants will be followed up for up to 1 year. The window periods for the post-PTA  
228 visits are 3-month  $\pm$  1 week, 6-month  $\pm$  4 weeks and 12-month  $\pm$  4 weeks. During the follow-up  
229 period, ultrasound assessment will be performed in each study site's vascular study unit. Reminder  
230 will be given to participants by study coordinator to ensure adherence to follow up ultrasound. The  
231 Duplex ultrasonography assessment includes patency of the AVF, volume flow rates at the mid-

232 brachial artery and venous outflow, minimum diameter of each target lesion, and any new stenosis  
233 within the AVF circuit. For patients who may have undergone or are planned for fistulograms, the  
234 fistulograms may be used instead of the scheduled ultrasound. A study team member who is not  
235 involved in the index procedure will be responsible for reviewing the patient, ultrasound images or  
236 reports, and hemodialysis charts during each follow-up and determine plans for repeat intervention  
237 when clinically indicated.

#### 238 *Contingency plan*

239 In situations where hospital visits are limited to essential visits only, patient will not be able  
240 to return for follow-up ultrasound scans. The study team will review the patient's medical record,  
241 dialysis records from patient's dialysis centers and conduct telephone consult with the patient to  
242 collect data in place of the ultrasound scan.

#### 243 *Repeat intervention on AVF*

244 Repeat intervention will be performed when a decrease in access flow is associated with  
245 clinically significant lesions as recommended by the National Kidney Foundation's Kidney Disease  
246 Outcomes Quality Initiative (KDOQI) clinical practice guideline for vascular access: 2019 update.  
247 (Table 2) (17) Patients who require repeat intervention on the AVF are considered to have reached  
248 the primary endpoint.

#### 249 *Central laboratory assessment*

250 The index procedural fistulograms and all follow-up ultrasound images will be sent to a  
251 central laboratory for review by a group of independent assessors. The independent assessors will use  
252 quantitative vascular analysis software (Syngo, Siemens Healthcare, Erlangen, Germany) as an  
253 adjunct to evaluate the lesions from fluoroscopy images in the picture archiving and communication  
254 system (PACS). The central laboratory's interpretation of all angiograms will be used for the data  
255 analyses.

256

257 **Outcomes**

258 In this study, standard definitions for patency outcomes, major and minor complication rates  
259 according to the Society of Interventional Radiologist (SIR) guidelines are used. (18)

260 Primary endpoints

261 *Efficacy endpoint*

262 1. Circuit primary patency rates at 6-month

263 *Safety endpoint*

264 1. Complication rates at 1-,3-, 6- and 12-month according to Society of Interventional Radiology  
265 (SIR) definitions of minor or major complications. (18)

266 Secondary endpoints

267 1. Time taken to the next intervention

268 2. Treated lesion percent stenosis at 6- and 12-months with ultrasound

269 3. Treated lesion restenosis rate at 6-months

270 4. Number of repeat interventions to treated lesion at 6- and 12-months

271 5. Number of repeat interventions to maintain access circuit at 6- and 12-months (including  
272 interventions to treated lesion)

273 6. Treated lesion revascularization free interval

274 7. De novo stenosis detected on ultrasound scan at 3-, 6- and 12-months

275 8. Post intervention treated lesion patency at 3-, 6- and 12-months

276 9. Post-intervention primary patency at 3-, 6- and 12-months

277 10. Post-intervention assisted primary patency at 3-, 6- and 12-months

278 11. Post-intervention secondary patency at 3-, 6- and 12-months

279 Circuit primary patency rates is defined as the percentage of patients whose AVF remain patent  
280 at 6-months after the index PTA. A major complication is defined as requiring therapy, minor  
281 hospitalization < 40 hours, requiring major therapy, unplanned increase in level of care, prolonged

282 hospitalization (>48 hours), leading to permanent adverse sequelae, or death. A minor complication  
283 requires no therapy with no consequences or requires nominal therapy with no consequences,  
284 including overnight admission for observation only. (18)

285 Time taken to the next intervention is defined as the number of months from index angioplasty to  
286 the subsequent intervention or till study completion at 12 month. Treated lesion percent stenosis is  
287 defined as percent stenosis relative to adjacent reference vessel,  $[1 - (\text{minimum lesion diameter} /$   
288  $\text{reference vessel diameter})] \times 100$ ) on 6- and 12-months follow-up ultrasound. Restenosis rate is  
289 defined as the incidence of more than 50% diameter narrowing of the target lesion compared to  
290 adjacent vessel segment at 6-month follow-up ultrasound scan. Treated lesion re-intervention free  
291 interval is defined as the interval from index angioplasty to repeat clinically driven target lesion  
292 intervention, anytime within the 12-months study period.

293 Post-intervention primary patency is defined as the percentage of patients whose AVF remains  
294 patent and does not require any further interventions (18), while post-intervention treated lesion  
295 patency is measured as the percentage of patients whose AVF remains patent and does not require  
296 any additional interventions at 3-, 6-, and 12-months after the index angioplasty. These outcomes are  
297 determined by ultrasound imaging or angiogram or clinical examination. The decision for  
298 reintervention based on clinical examination findings include loss of thrill, pulsatile flow, or swollen  
299 arm. Post-intervention assisted primary patency is defined as the percentage of patients whose AVF  
300 requires additional interventions to remain patent and post-intervention secondary patency is  
301 measured as the percentage of patients whose AVF have thrombosed and require additional procedure  
302 to restore flow at 3-, 6-, and 12-months after the index angioplasty. (18) These outcomes are  
303 determined by clinical history during the study period.

304

305 **Statistical analysis**

306 Sample size calculation

307 We assume that the SCB will have similar effectiveness as the PCB based on our pilot study  
308 (6-month target lesion primary patency of 82.9% with SCB) and previous meta-analysis (pooled 6-  
309 month target lesion primary patency 73.7% with PCB). Considering a dropout rate of 10%, a  
310 sample size of 170 patients randomized into a 1:1 ratio will have 80% power to detect a difference  
311 between the two groups at 6-month.

### 312 Primary Outcome

313 Both the primary efficacy outcome and primary safety outcome will be analyzed using an  
314 intention to treat (ITT) analysis set which includes all randomized subjects. The ITT subjects will be  
315 analyzed according to their randomized group assignment irrespective of the treatment delivered and  
316 subject follow-up time, and all events post- randomization will be counted toward study endpoints.  
317 The count and percentage of subjects with each outcome will be presented by treatment. The  
318 percentage of the efficacy endpoint will be based on the subjects who had non-patency event (i.e.,  
319 CD-TLR or access circuit thrombosis) within 210 days post procedure or had no non-patency event  
320 but followed up for at least 150 days. The efficacy endpoint will be compared between treatments  
321 using the Z-test (Z-test approximation to a binomial distribution) as the primary analysis method. The  
322 percentage of the primary safety endpoint will be based on subjects who had AV-access-circuit-  
323 related-SAE within 30 days post-procedure or had no AV-access-circuit-related-SAEs but were  
324 followed up for at least 23 days. Non-inferiority on the safety endpoint will be tested using the  
325 Farrington- Manning method. The differences between treatments and the corresponding 95%  
326 confidence interval (CI) will be calculated. To control the overall Type I error the following  
327 sequential analysis approach will be taken:

- 328 • Primary efficacy superiority; if significant at one-sided  $\alpha=0.025$ , and
- 329 • Primary safety non-inferiority; if significant at one-sided  $\alpha=0.025$ ,
- 330 • then proceed to key secondary endpoints

331 The study will be deemed a success if both the superiority of efficacy and non-inferiority of safety  
332 are demonstrated. Additional analysis of the primary endpoint using time to the events will be  
333 evaluated according to Kaplan-Meier method, and the log-rank tests will be applied to compare the  
334 survival curves over time between the treatments for each primary endpoint respectively.

#### 335 Secondary Outcome

336 Descriptive statistics for the secondary endpoints will be provided. Unless otherwise  
337 specified, for categorical variables, the count and percentage of subjects with each outcome will be  
338 presented. They will be evaluated by using chi-square tests or Fisher's exact tests depending on the  
339 event counts. Continuous variables will be compared with t-tests. The differences between treatments  
340 together with the corresponding 95% confidence interval will be calculated. Additional time to event  
341 survival analysis will be employed when applicable. Secondary endpoints will be analyzed using ITT  
342 analysis set, per- protocol analysis set, and as treated analysis set respectively when applicable. The  
343 key secondary endpoints will be compared between treatments sequentially by using ITT analysis set  
344 in a superiority manner if the two primary endpoint tests pass, each at a one-sided significance level  
345 of 0.025.

346 As treated analysis set include randomized subjects who received a SCB or PBA. The as  
347 treated subjects will be analyzed according to the device subjects received. If the as treated analysis  
348 set is different from ITT analysis set, the primary and secondary endpoints will be analyzed on as  
349 treated analysis set to assess the sensitivity. Per-Protocol Analysis set include subjects who have: (a)  
350 received the randomized treatment as assigned without provisional stenting or other potential bailout  
351 procedure; (b) no pre-specified inclusion/exclusion violation(s); and (c) available endpoint data post-  
352 index procedure. Per-Protocol Analysis set will be applied to primary and key secondary endpoint  
353 analyses.

#### 354 Safety Analysis

355 All Adverse events (AEs) post informed consent will be collected and presented in a listing.  
356 The AEs started during or post index procedure through the end of study will be tabulated. The AEs,  
357 Significant adverse events (SAEs), and AEs leading to death, will be summarized by treatment,  
358 system organ class and by time. The relationship of AEs to procedure, device and therapy will also  
359 be summarized respectively. Fisher exact test will be used to test treatment difference.

#### 360 **Ethics and regulatory approvals**

361 The trial will be conducted in compliance with the principles of the Declaration of Helsinki  
362 (1996). This study protocol and all its related documents have been approved by local Institutional  
363 Review Board (reference: 2019/2896). Informed consent will be obtained from all subjects  
364 participating in the study. In the event the patient is unable to write, informed consent can be given  
365 via a thumbprint or orally in the presence of at least one witness in accordance with the Medical  
366 Research Involving Human Subjects Act (article 6, subsection 2, altered WMO).

#### 367 **Data handling & Auditing**

368 Hardcopy source documents will be used to collect required data. The contained information  
369 will then be entered into the Electronic Research Data Capture (REDCap) system by study  
370 coordinator. The hardcopy source document and list containing the links between enrolment number  
371 of each participant to their identities will be kept under lock and key cabinets. Online database /  
372 electronic case report forms will be password protected. Only the principal investigator, designated  
373 co-investigators and study coordinators will have access to the research data. Access to the hardcopy  
374 data will be controlled. Access to the electronic database / case report forms will be password  
375 protected and login recorded. The images from the angiogram and intervention and ultrasound scans  
376 are recorded into the electronic picture archiving and communication system (PACS) of a password  
377 protected computer as per routine clinical practice in the study site. These records will be anonymized  
378 and saved in a hard disk for review by independent assessors.

379 *Data monitoring committee (DMC)*

380 The data and safety monitoring will be performed by the principal investigator and a team of  
381 co-investigators. The principal investigator and study coordinators will be responsible for the  
382 dissemination of data and safety information to the study sites. This will be communicated via face-  
383 to-face meetings and emails using secure institution password protected electronic communications.

#### 384 **Assessment of Safety**

385 All adverse events are recorded in the case report forms. The principal investigator and co-  
386 investigator will monitor safety data by reviewing the case report forms. All serious adverse events  
387 will be notified by the principal investigator to the CIRB within the stipulated timeframe. Follow-up  
388 information will be actively sought and submitted as it becomes available.

389

#### 390 **Discussions**

391 We present the protocol of a multi-center RCT to evaluate the efficacy of SCB in improving  
392 patency rates of AVFs from reduction in restenosis and reintervention rates. SCBs have been used  
393 successfully in hemodialysis accesses in small, non-randomized studies. Tan et al. reported 3- and 6-  
394 month primary patency of 76% and 65% with application of SCB at the graft vein junction after  
395 successful thrombectomy of AVG (19), while Tang et al. reported 3- and 6-month target lesion  
396 primary patency of 97.9% and 82.9% following treatment with SCB for dysfunctional AVF. (20)  
397 Although both studies suggested that SCB may be safe and efficacious for treatment of hemodialysis  
398 access dysfunction, one cannot draw a conclusion from these small, pilot studies without control  
399 groups.

400 To the author's knowledge, this is the first RCT comparing SCB use versus POBA in  
401 dysfunctional AVF. Double blinding is used in the study to minimize potential bias. To reduce  
402 confounding effect from non-maturing AVF that may have a different pathogenesis, the study  
403 includes only mature AVF which has been in use for at least 1 month. In addition, randomization is  
404 stratified by location of AVF (above vs. below elbow) to minimize heterogeneity between both

405 groups, as above-elbow AVFs generally have larger vessel size and may have better outcomes than  
406 below-elbow AVFs.

407 Circuit primary patency instead of target lesion primary patency is chosen as the primary  
408 endpoint because the study is designed to treat all stenosis in the AVF circuit. Furthermore, it is the  
409 circuit patency that is most meaningful to the patients with numerous economical and psychosocial  
410 benefits from a lesser need for reintervention. In accordance with the KDOQI Clinical Practice  
411 Guideline for Vascular Access 2019, reintervention of AVF is based on clinical indications as  
412 summarized in Table 2. (17). A recruited patient who has concurrent asymptomatic central vein  
413 stenosis will not receive intervention for the central vein stenosis as previous evidence showed a lack  
414 of benefit in treatment in this group of patients. (21)

415 We learned from previous DCB studies (4, 5, 7, 8, 22) that adequate vessel preparation with  
416 high-pressure angioplasty balloons is a crucial component of PTA. Although these studies were  
417 designed differently, they showed similar primary efficacy endpoint of target lesion at 6-month with  
418 DCB after appropriate vessel preparation, likely because adequate pretreatment enhances drug  
419 penetration into the vessel wall for maximal pharmaceutical effects to inhibit NIH.

420 In this study, we use ultrasound as a tool to assess the AVF following angioplasty, this is to  
421 examine and document the degree of post-procedural elastic recoil within 24 hours. This will help  
422 determine whether the stenosis seen in subsequent follow-up ultrasound is part of the NIH process or  
423 recoil post-angioplasty. The rate of late lumen loss may also be compared accurately between the 2  
424 groups. Ultrasound assessment also allows a detailed evaluation of any potential vascular  
425 injury/dissection during the index procedure and monitor for recovery. Systemic use of sirolimus has  
426 been associated with an increased risk of impaired wound healing. (23) Locally delivered sirolimus  
427 was thought to be responsible for impaired re-endothelialization and lead to aneurysm formation  
428 following sirolimus-eluting stent placement reported in the coronary arteries interventions. (24, 25)  
429 During the follow-up period in this study, ultrasound will allow any potential vascular malformations

430 to be detected, recorded, and followed up longitudinally. We anticipate that the result of this trial will  
431 provide additional insight into the effort to improve patency outcomes in AVF for ESRD patients.

432 **Trial status**

433 Recruitment started on January 11, 2021. The projected timeline for recruitment and follow up is  
434 expected to finish by May 2024.

435 **List of abbreviations:**

436 AVF - Arteriovenous fistula

437 NIH - Neointimal hyperplasia

438 DCB - Drug-coated balloon

439 SCB - Sirolimus-coated balloon

440 AV - Arteriovenous

441 PCB - Paclitaxel-coated balloon

442 ESRD - end stage renal disease

443 DSA - Digital Subtraction Angiography

444 PTA - Percutaneous transluminal angioplasty

445

446 **Declarations**

447 **Protocol amendment:** Amendments are submitted to and approved by our institution's CIRB.

448 Version 2 dated on 23 Dec 2020; inclusion criteria of residual stenosis changed from <25% to < 30%

449 as that is the standard clinical level. Version 3 dated on 09 Feb 2021; follow-up ultrasound scans are

450 to be conducted at each site instead of a primary site as the study is carried out during the COVID -

451 19 pandemic when movement restriction is in place. Version 4 dated on 24 May 2021; addition of

452 inclusion criteria for patient with concurrent asymptomatic or angiographically not significant central

453 vein stenosis if no treatment during the index procedure is required. Version 4 also includes addition

454 to indications of clinically significant lesions for repeat intervention based on the latest 2019 KDOQI

455 guideline which was published after the initial protocol was written. The amendments did not change  
456 the original objectives and/or alignment of the study.

457 **Consent for publications:** Manuscripts will be sent to the institutional representative prior to  
458 submission. All study members with significant roles in the trial will be acknowledged.

459 **Availability of data and material:** The datasets generated and/or analyzed during the current study  
460 are not publicly available due to confidentiality of the data but are available from the corresponding  
461 author on reasonable request.

462 **Competing interests:** The authors declare that they have no competing interests.

463 **Funding:** This work was funded and supported by Concept Medical who have no role in the design,  
464 running, or analysis of the trial. All study angioplasty balloons are supplied and the cost of travel for  
465 study visit, follow up ultrasound scan, hiring of study coordinators and biostatistician services are  
466 covered by the sponsor.

467 **Authors' contributions:** CST is the principal investigator of the study. EC, JH are the lead site  
468 investigator from two other hospital. SCP, RYT, KHT, AG, FGA, KDZ, LT, SC, PK, KAL, SL, RL,  
469 AP, BST, CWT, JC, RKAT, TYT, SPC, TTC, HTT, HYY, JW, RBD, JJN, AG, EKL, SJO, GY, JST  
470 are co-investigators. KYC is the lead study coordinator. All contributed to the study design and  
471 reviewed the paper. CST, SCP, RYT, RKAT and KYC read and approved the final manuscript.

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475 **Sponsor contact:** Concept Medical INC, 5600 Mariner ST 200 STE, 33609, Tampa, Florida, USA

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- 558

# Figures

Inclusion

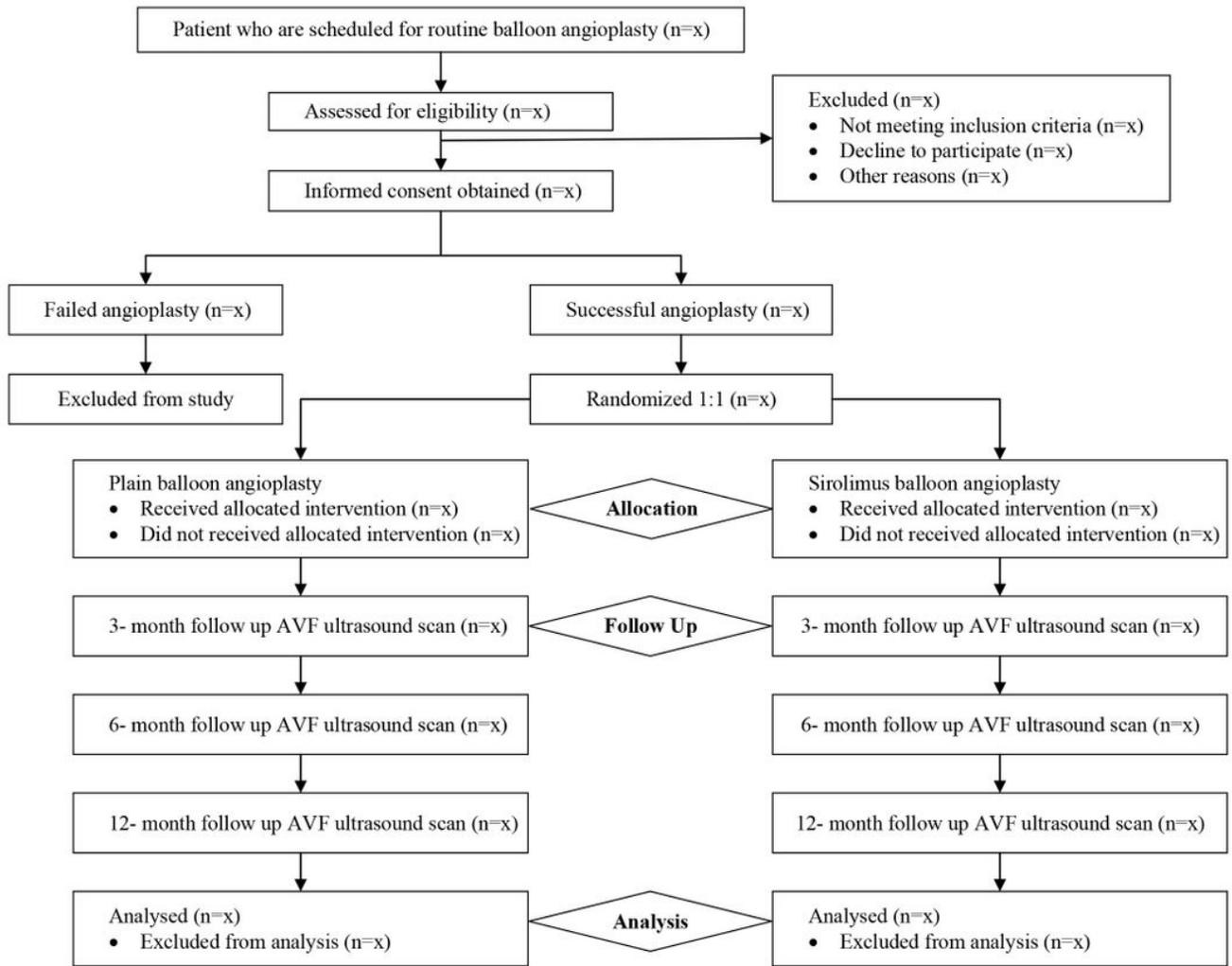


Figure 1

Flowchart of study based on the Consolidated Standards for Reporting of Trials

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