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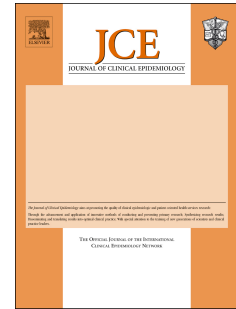
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## Justification and reporting of subgroup analyses were lacking or inadequate in randomised controlled trials

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## Abstracts

**Objectives:** To assess the appropriateness and rationales of subgroup analyses planned in protocols of randomised controlled trials and reported in subsequent corresponding trial publications.

**Study design and setting:** We searched PubMed to identify trial protocols published in journals during 2006-2017. From a total of 3774 initially identified records, we included a random sample of 479 protocols, and identified 280 trial publications corresponding to the included protocols.

**Results:** Subgroup analyses were specified in 19% of the protocols, and reported in 21% of the trial publications. Of the 94 protocols with planned subgroup analyses, 32% mentioned testing for interaction and only three considered statistical power. Subgroup analyses were not pre-specified in 56% of the 59 trial publications with subgroup analyses. Subgroup analyses were stated as prespecified in nine trial publications, without support evidence from the corresponding protocols. Subgroup analyses were often reported insufficiently for assessing the consistency of subgroup effects across studies. Justifications for subgroup analyses were provided in only four trial protocols and in seven trial publications.

**Conclusions:** Inappropriate specification and reporting of subgroup analyses remain problematic in protocols and reports of randomised controlled trials. Justifications or rationales for subgroup analyses were only rarely provided in trial protocols and reports.

**Key words:** subgroup analysis; subgroup effect; pre-specification; clinical trial; study protocol; study reporting

**Running title:** Subgroup analyses in clinical trials

## Introduction

Randomised controlled trials (RCTs) usually report results as the overall average of relative effects of healthcare interventions, such as hazard ratios or mean differences. However, treatment effects are unlikely to be homogeneous across study participants, and averaging effects may mislead clinicians in the care of individual patients [1, 2]. To maximise health gain from limited resources, it is a clinically meaningful question about whether the effect of a treatment differs by differing characteristics of patients [3].

Subgroup analysis in clinical trials aims to detect *subgroup effects*, defined as the difference in treatment effect between subgroups due to causal interactions [4], to inform clinical decisions about which patients should or should not receive a treatment [5, 6]. However, there are well known limitations with subgroup analyses, including inflated false positives due to multiple testing, and high false negatives due to inadequate statistical power [7, 8]. Although issues related to subgroup analysis have been debated for decades and numerous guidance on subgroup analyses has been advocated, controversy remains regarding the conduct, reporting and interpretation of subgroup analyses in clinical trials [9-12]. Recent studies found that there has been no improvement in the reporting of subgroup analyses [13, 14], and that there were discrepancies between subgroup analyses planned in protocols and journal publications of clinical trials [15].

Many journals have been accepting and publishing clinical trial protocols so as to promote public access to them [16, 17]. Using a sample of trial protocols published in journals, this study aimed to assess the appropriateness and rationales of subgroup analyses planned in trial protocols and those reported in trial publications.

## Methods

We defined subgroup analyses as those based on participant characteristics at baseline. We excluded subgroup analyses defined by intervention characteristics (such as dosages, differences in healthcare providers), patient response to treatment, or other events after the start of a clinical trial.

## Identification and inclusion of trial protocols

We included trial protocols published in journals during 2006-2017, and excluded those that met any of the following exclusion criteria: (a) pre-clinical trials that included healthy people, (b) non-randomised, (c) published in languages other than English, (d) published before 2006, (e) non-human, and (f) the full text not openly available.

We searched PubMed on March 5<sup>th</sup> 2018, using key terms: “*study protocol*”, *random\**, and “*trial*” in the title, and located a total of 3774 records. The located records were managed by Microsoft Excel (2016), and separated into five groups by year of publication: protocols published during 2006-2009, 2010-2011, 2012-2013, 2014-2015, and 2016-2017. Then we used Excel RAND command to generate a random number (from 0 to 1) for each of the identified records, and ordered them by the assigned random numbers from the smallest to the largest. From each of the five year groups, we included the first 100 ranked protocols (starting from the smallest random number assigned). Due to the small number of protocols published before 2010, all 83 protocols published during 2006-2009 were included. Therefore, we initially included a total of 483 randomly selected trial protocols.

## Data extraction and synthesis

We finalised a data extraction form (supplementary appendix 1) after pilot-testing by two reviewers (JCF and FS) using ten of the sampled trial protocols. One reviewer (JCF) then extracted information from the remaining sampled protocols, and a second reviewer (FS) thoroughly checked the extracted data.

We used the unique numbers of clinical trial registration to identify any subsequent publications reporting the results of trials that corresponded with the included trial protocols (up to 31<sup>st</sup> July 2018).

We extracted data from the journal publications by one reviewer (JCF) and checked by a second reviewer (FS), in line with items used in a previous study (supplementary appendix 1) [15]. The reporting of subgroup analyses in a trial publication was judged to be sufficient for cumulative subgroup analyses [18] if the trial report provided estimated subgroup effects with standard errors, confidence intervals, or interaction P values [19]. A subgroup effect was considered to be as claimed if the trial authors explicitly

stated in the abstract or discussion/conclusion that the effect of an intervention was different between subgroups or that a clear benefit or harm was seen in one or more subgroups [20].

We calculated the proportion of trial protocols with planned subgroup analyses, the proportion of trial publications reported subgroup analyses, explored the association of planned or reported subgroup analyses with study characteristics, and compared subgroup analyses planned in protocols and reported in trial publications. Data regarding sample size, journal impact factor, and number of subgroup analyses were categorised based on percentile distributions. We used the chi-square test for statistically analysing categorical data, and non-parametric trend test for ordinal data (such as ordered groups by year of publication and sample size).

## Results

### Characteristics of trial protocols and reports

Four of the 483 initially included protocols were eventually excluded for the following reasons: publication in non-English language, non-randomised trial, animal study, and only the qualitative component of a planned trial. We identified 280 trial publications corresponding to the included protocols (see supplementary appendix 2 for references of included trial protocols and publications). The median number of years between the publication of the protocol and trial report was 3 (ranging from 0 to 10 years).

The main characteristics of the 479 included protocols and the 280 trial publications are shown in Table 1. More than half of the protocols (53.0%) were published in *Trials*, and 83.5% were published in journals with a journal impact factor ranging from 2.000 to 4.999 in 2017. The majority of the protocols concerned trials in high-income countries (85.4%), and with non-industry funding (85.4%). Of the 479 protocols, 86.2% were superiority design, 60.5% were multi-centre studies, 19.0% were cluster trials, 23.8% had a sample size more than 500, and 50.1% used objectively measured primary outcomes (Table 1).

Subgroup analyses were planned in 94 (19.6%) of the 479 protocols (Table 1). The proportion of protocols with planned subgroup analyses decreased over time ( $P=0.029$ ), from 25.6% in protocols published during 2006-2009 to 13.3% in those published during 2016-2017 (Table 1). In addition, the specification of subgroup analyses in protocols was positively associated with larger sample size ( $P<0.001$ ), multi-centre design ( $P=0.009$ ), and non-industry funding ( $P=0.036$ ). There was no statistically significant association between specification of subgroup analyses and other trial characteristics in Table 1 or different clinical fields (supplementary appendix 3).

Fifty-nine (21.1%) of the 280 trial publications reported subgroup analyses (Table 1). The reporting of subgroup analyses was associated with larger sample size ( $P<0.001$ ), objectively measured primary outcomes ( $P=0.006$ ), and higher journal impact factor ( $P=0.002$ ). The proportion of trials reporting subgroup analyses was 12.9% in trials published in journals with an impact factor  $<5$ , compared with 36.2% in those with an impact factor  $\geq 10$  (Table 1). There was no statistically significant association between reporting of subgroup analyses in trial publication and other study characteristics.

### **Subgroup analyses planned or reported**

The main characteristics of the 94 protocols with planned subgroup analyses, and 59 trial publications reported subgroup analyses are shown in Table 2. All of the planned subgroup analyses were exploratory, including nine (9.6%) that mentioned subgroup effects in trial objectives. Of the 94 protocols, only four provided justification for the planned subgroup analyses, three considered issues concerning statistical power; and none explicitly anticipated the direction of subgroup effects (Table 2). Test for interaction was mentioned in only 31.9% of the 94 trial protocols with planned subgroup analyses. Subgroup variables were explicitly listed in 78 (83.0%) of the 94 trial protocols, including disease characteristics (78.2%), age (30.8%), gender (29.5%), socioeconomic factors (26.9%), ethnicity (9.0%), and study centre (9.0%). Cut-points were explicitly defined in only 27.3% of the 77 protocols with subgroups by continuous variables.

Of the 59 trial publications that reported subgroup analyses, more than half (55.9%) had not specified any subgroup analyses in the corresponding protocols (Table 2). Nine trial reports stated that the

subgroup analyses were prespecified, even though there were no mention of any subgroup analyses in the corresponding protocols. Seven trial reports tried to justify at least one of the subgroup analyses, only one anticipated the direction of possible subgroup effects, and none considered issues regarding statistical power of subgroup analysis. Statistical test for interaction or subgroup effects was not conducted in 23 (39.0%), including eight of the 20 trial publications with subgroup effect claims. Results of subgroup analyses were insufficiently reported in 21 (35.6%) of the 59 trial publications.

When trial protocols and publications were categorised into two groups by year of publication (2006-2013 and 2014-2018), there were no improvements over time in the use of a statistical test for interaction, in pre-specification of subgroup analyses in protocols, or in reporting of sufficient data on results of subgroup analyses (Table 3).

### **Justification for subgroup analyses**

Only four of the 94 trial protocols with planned subgroup analyses provided some justifications or rationales for subgroup analyses (supplementary appendix 4). In two protocols [21, 22] subgroup analyses were based on findings from previous clinical studies. The planned subgroup analyses were simply based on the suspected differences in treatment effect by subgroups, without giving more details, in the remaining two trial protocols [23, 24]. Results of these four RCTs have been published, and all reported no subgroup effects.

Justifications or rationales for subgroup analyses were provided in seven of the 59 trial publications with subgroup analyses (supplementary appendix 4), although no justifications were mentioned in any of the corresponding protocols. All justified subgroup analyses according to findings from previous studies. In one case, post hoc subgroup analyses were conducted as a response to critics of previous clinical trials with negative results [25]. There were no statistically significant subgroup effects reported in the seven trial publications.

Of the 221 trial publications that did not report subgroup analyses, nine mentioned reasons for not conducting or reporting any subgroup analyses. Inadequate statistical power or inadequate recruitment



of participants belonging to certain subgroups were the reasons for lack of subgroup analyses in trial reports, except for one which stated that subgroup analyses would be reported in separate publications.

## **Discussion**

We found that subgroup analyses were planned in 19.6% of the 479 RCT protocols published in journals, and reported in 21.1% of the 280 corresponding trial publications. The proportion of trial protocols with planned subgroup analyses was associated with sample size, multi-centre design, and non-industry funding. There was a reduced proportion of protocols with planned subgroup analyses over time. Justifications for subgroup analyses were rarely provided (4.3%), mainly based on findings from previous studies or suspected possibility of subgroup effects.

The reporting of subgroup analyses in trial publications was positively associated with sample size, objectively measured outcomes, and journal impact factors. More than half of the subgroup analyses reported in trial publications were post hoc, without specification in the corresponding protocols. Furthermore, subgroup analyses were described as pre-specified in some trial publications, even though none were mentioned in the corresponding protocols. Compared with trial protocols, relatively more trial reports tried to retrospectively justify subgroup analyses. Seven of the 59 trial reports with subgroup analyses provided some rationale for subgroup analyses, although none were available in the corresponding trial protocols.

Testing for subgroup effects or interaction was planned in 31.9% of the 94 protocols, and conducted in 61.0% of the 59 trial publications. There were no improvement over time in appropriate testing for interaction in either trial protocols or reports, or in reporting of results of subgroup analyses in trial publications.

### **Comparison with previous studies**

Several previous studies have evaluated subgroup analyses in study protocols and their corresponding study reports [15, 26-28]. Results of the present and previous relevant studies of RCT protocols [15, 26, 27] are shown in Table 4. The proportion of trial protocols with planned subgroup analyses in the

present study was 19.6%, which was similar to one previous study [26], but lower than was reported in other studies (from 28.2% [15] to 48.6% [27]). Differing sources of trial protocols and year periods may explain some differences in planned subgroup analyses across studies. Similar to a previous study [15], we found that specification of subgroup analyses in trial protocols was positively associated with sample size and multicentre design. However, contrary to a previous study [15], we observed a significant association between subgroup analysis specification and non-industry funding. As in previous studies, we found that trial protocols rarely anticipated the direction of subgroup effects, and there were discrepancies between subgroup analyses planned in trial protocols and presented in trial reports. Available evidence indicated that inadequate pre-specification of subgroup analyses in trial protocols and reporting of subgroup analyses in trial publications have not improved over decades. A previous study (not included in Table 4 due to a mix of different study designs) found that justifications for subgroup analyses were provided in 16.3% of 76 grant applications [28]. Justifications for subgroup analyses were rarely provided in RCT protocols; which was 4.3% in the present study and only 2.7% in a small study of 37 trial protocols [27].

### **Strengths and limitations**

This is the first study using a random sample of trial protocols published in journals and corresponding trial reports to examine planned and reported subgroup analyses in randomised controlled trials. Findings from the present study update and further strengthen existing empirical evidence regarding the appropriateness of subgroup analyses in clinical research. Particularly, the present study summarised empirical evidence about how specified subgroup analyses were justified or what rationales were used for subgroup analyses in a large number of randomised controlled trials. Furthermore, the present study is the first to examine whether results of subgroup analyses were sufficiently reported to facilitate the checking of consistency in subgroup effects reported, and the conduct of cumulative subgroup analyses [18]. Similar to cumulative meta-analysis [29], cumulative subgroup analysis refers to a series of repeated meta-analyses of subgroup effects after adding data from each new trial chronologically.

The present study included protocols of trials conducted in more regions or countries, compared with previous studies that considered trials restricted in high-income countries in Europe or North America. However, protocols published in journals may be systematically different from those approved by research ethics committees. For example, the proportion of trials with industry funding was 17.9% in the present study, compared with 60.2% in a previous study of trial protocols approved by research ethics committees in Europe or Canada [15]. Due to the restriction of available resources and time, we included only a random sample of 479 from a total of 3774 published protocols identified from PubMed. Furthermore, we did not check any amendments of trial protocols or statistical analysis plans of trials for possible changes in specification of subgroup analyses. However, we believe that the main findings from the present study were unlikely to be materially different by including more published protocols, or by obtaining additional information from protocol amendments and statistical analysis plans. These assumptions might be worthy of further evaluation of the literature in the future.

## **Implications**

### *For journal editors and peer reviewers*

Specification of subgroup analyses in trial protocols published in journals could be much improved if journal editors and peer reviewers identified inappropriate subgroup analyses before protocols are accepted for publication. For example, investigators could be encouraged to provide justifications or rationales for planned subgroup analyses, to anticipate the direction of subgroup effects, and to use appropriate statistical test for interaction. Journal editors and peer reviewers may need to improve their own understanding of what are important issues for pre-specification of subgroup analyses in trial protocols. Attention from journal editors and peer reviewers is also needed to the appropriate reporting of subgroup analyses in trial publications. For example, the discrepancies in subgroup analyses between protocols and trial reports could be avoided or explained by checking the corresponding trial protocols before accepting trial reports for publication. The journal editors and peer reviewers should also ensure sufficient reporting of results of subgroup analyses for cumulative meta-analyses of subgroup effects.

*For researchers*

Medical and health researchers need to understand how to plan and conduct appropriate subgroup analyses in clinical studies. During the preparation of trial protocols, issues concerning subgroup analyses should be explicitly considered. Justifications and rationales for planned subgroup analyses should be provided, although subgroup analyses should also be allowed purely for exploratory purpose. In trial publications, both pre-specified and post hoc subgroup analyses should be reported with sufficient data for cumulative subgroup analyses [19]. The present study found that some trial publications did not report subgroup analyses due to the small sample size. For a single study, the sample size may be too small to reveal significant subgroup effects. However, if multiple small studies on the same topic conduct the same subgroup analyses, cumulative subgroup analyses may show how consistent are results of subgroup analyses across individual trials, and provide a more valid overall estimate of subgroup effects [18].

*Methodological and reporting guidance*

There is much existing guidance aiming to reducing inappropriate use of subgroup analyses in clinical research [5, 6, 8, 30-32]. The key points for assessing the credibility of subgroup analyses in clinical trials include: pre-specification of subgroup analyses in protocols, a small number of subgroup analyses conducted, appropriate statistical test for subgroup effects, and consistency in results of subgroup analyses across trials. As attention has been focused mainly on the problem of inflated false positives, efforts to avoid inappropriate subgroup analyses may have resulted in a recent reduction in the proportion of trial protocols with planned subgroup analyses, as shown in the present study. If fewer or no subgroup analyses are conducted in clinical trials, it will be difficult or impossible to examine the consistency in results of a subgroup analysis across different trials, and valuable data from clinical research will be wasted [18]. Therefore, methodological guidance on subgroup analyses in clinical research should emphasise the importance of sufficient reporting of results of all pre-specified or post hoc subgroup analyses conducted, rather than insist on only a small number of planned subgroup analyses. With sufficient reporting of subgroup analyses from multiple trials, some problems related to

inappropriate subgroup analyses, such as lack of test for interaction and false positive or false negative subgroup effects in isolated individual trials, could be properly corrected with evidence accumulation.

### *Further research required*

The present study found very limited empirical evidence regarding justifications or rationales for subgroup analyses planned or conducted in clinical trials. Although all existing guidance on clinical research have emphasized the importance of a priori specification of subgroup hypotheses in clinical trials, there are no guidance specifically about how to specify a priori subgroup hypotheses at the design stage of a clinical trial. Further research are required to accumulate more empirical evidence about how and why subgroup analyses are planned or conducted in clinical trials, and what measures could be taken to improve the efficient use of data from clinical trials to appropriately identify clinically meaningful subgroup effects.

### **Conclusions**

Inappropriate specification and reporting of subgroup analyses remain problematic in published protocols and reports of randomised controlled trials, although the trial protocols published more recently are less likely to plan subgroup analyses than those published earlier. Justifications or rationales for subgroup analyses were only rarely provided in trial protocols and in trial reports. Methodological and reporting guidance needs to focus more on sufficient reporting of pre-specified or post hoc subgroup analyses so as to facilitate checking of consistency in results of subgroup analyses across clinical trials.

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**Table 1: The main characteristics of included protocols of randomised controlled trials**

Characteristics	RCT protocols		Trial publications	
	N	Planned SGAs (%)	N	Reported SGAs (%)
<b>Total</b>	479	94 (19.6%)	280	59 (21.1%)
<b>Year of publication:</b>				
2006-2009	82	21 (25.6%)	11	5 (45.5%)
2010-2011	100	23 (23.0%)	29	5 (17.2%)
2012-2013	99	18 (18.2%)	49	8 (16.3%)
2014-2015	100	19 (19.0%)	80	21 (26.3%)
2016-2017/18	98	13 (13.3%)	111	20 (18.0%)
<b>Journal impact factor:</b>				
<2.000	32	4 (12.5%)	27	2 (7.4%)
2.000-4.999	400	83 (20.8%)	112	16 (14.3%)
5.000-9.999	27	4 (14.8%)	82	19 (23.2%)
>=10.000	0	--	58	21 (36.2%)
<b>Geographical region:</b>				
Europe	252	53 (21.0%)	150	38 (25.3%)
Asia	61	13 (21.3%)	25	5 (20.0%)
Oceania	61	10 (16.4%)	46	7 (15.2%)
North America	59	10 (17.0%)	36	4 (11.1%)
South America	18	2 (11.1%)	7	1 (14.3%)
Africa	13	1 (7.7%)	0	0 (0.0%)
Multiple	15	5 (33.3%)	8	4 (50.0%)
<b>Country income category:</b>				
Developed	409	83 (20.3%)	250	54 (21.6%)
Less developed	63	8 (12.7%)	26	3 (11.5%)
Mixed	7	3 (42.9%)	4	2 (50.0%)
<b>Funding source:</b>				
Non-industry	409	87 (21.3%)	245	51 (20.8%)
Industry	28	5 (17.9%)	14	1 (7.1%)
Mixed/other	42	2 (4.8%)	13	7 (53.8%)
<b>Trial design type:</b>				
Superiority	384	81 (21.1%)	239	50 (21.1%)
Exploratory	87	12 (13.8%)	38	9 (23.7%)
Non-inferiority	8	1 (12.5%)	3	0 (0.0%)
<b>No. of centres:</b>				
Multi-centre	290	68 (23.5%)	177	43 (24.3%)
Single-centre	189	26 (13.8%)	103	16 (15.5%)

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<b>Cluster trials:</b>				
Yes	91	21 (23.1%)	61	12 (19.7%)
No	388	73 (18.8%)	219	47 (21.5%)

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<b>Sample size category:</b>				
≤100	121	10 (8.3%)	72	5 (6.9%)
101-250	126	23 (18.3%)	74	13 (17.6%)
251-500	113	26 (23.0%)	63	22 (34.9%)
>500	114	35 (30.7%)	71	19 (26.8%)

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<b>Type of primary outcome:</b>				
Objective	240	51 (21.3%)	134	39 (29.1%)
Subjective	234	41 (17.5%)	145	20 (13.8%)
Mixed/Unclear	5	2 (40.0%)	1	0 (0.0%)

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**Table 2: Characteristics of subgroup analyses planned in trial protocols or reported in trial publications**

Variables	Planned SGAs in trial protocols	Reported SGAs in trial publications
Total	94 (100%)	59 (100%)
Pre-specification:		
Pre-specified	94 (100%)	26 (44.1%)
Post hoc	0	33 (55.9%)
Justification for SGAs:		
Provided	4 (4.3%)	7 (11.9%)
Not provided	90 (95.7%)	52 (88.1%)
Described SGA variables:		
Yes	78 (83.0%)	--
No	16 (17.0%)	--
Anticipated SGE direction:		
Yes	0 (0%)	1 (1.7%)
No	94 (100%)	58 (98.3%)
Considered power for SGAs:		
Yes	3 (3.2%)	0 (0%)
No	91 (96.8%)	59 (100%)
Test for interaction:		
Yes	30 (31.9%)	36 (61.0%)
No	64 (68.1%)	23 (39.0%)
No. of SGAs:		
1 - 3	45 (47.9%)	22 (40.0%)
4+ or unclear	49 (52.1%)	33 (60.0%)
Cut-points defined for continuous SGV:		
Yes	21 (27.3%)	--
No	56 (72.7%)	--
NA	17 (NA)	
Sufficient SGA results:		
Yes	--	38 (64.4%)
No	--	21 (35.6%)
Subgroup effects claims:		
Yes	--	20 (33.9%)
No	--	39 (66.1%)

Note: SGV – subgroup variables; SGA – subgroup analysis

**Table 3: Interaction test for subgroup effects and adequate result reporting by grouped publication year**

	Trial protocols		Trial reports	
	N	Yes (%)	N	Yes (%)
<b>Statistical test for subgroup effect or interaction:</b>				
2006-2013	62	21 (33.9%)	18	13 (72.2%)
2014-2018	32	9 (28.1%)	41	23 (56.1%)
<b>Sufficient data on subgroup analyses reported*:</b>				
2006-2013	--	--	18	12 (66.7%)
2014-2018	--	--	41	26 (63.4%)
<b>Specification of subgroup analyses in protocols:</b>				
2006-2013	--	--	18	9 (50.0%)
2014-2018	--	--	41	17 (41.5%)

Note to Table 3: \* The reporting of subgroup analyses in a trial publication was judged to be sufficient for cumulative subgroup analyses if the trial report provided estimated subgroup effects with standard errors, confidence intervals, or interaction P values.[19]

**Table 4: Comparison with previous studies of subgroup analyses in randomised trials**

Characteristics	The present study	Kasenda et al 2014[15]	Chan et al 2008[26]	Al-Marzouki et al 2008[27]
<b>Source of trial protocols</b>	479 trial protocols published in journals during 2006-2017.	894 protocols approved by 6 research ethics committees in Switzerland, Germany and Canada during 2000-2003.	70 protocols approved by the scientific ethics committees for Copenhagen & Frederiksberg, Denmark in 1994-1995.	37 trial protocols with summaries published on the Lancet's website as of June 2007.
<b>Trial protocols:</b>				
Protocols with planned SGAs	19.6% (94/479)	28.2% (252/894)	18.6% (13/70)	48.6% (18/37)
Justification/rationale for planned SGAs	4.3% (4/94)	--	--	2.7% (1/37)
Anticipated direction of SGE for planned SGAs	0.0% (0/94)	4.0% (10/252)	--	--
Appropriate test for interaction or subgroup effects	31.9% (30/94)	34.5% (87/252)	--	--
<b>Full trial publications:</b>				
Reporting of SGAs	21.1% (59/280)	47.8% (246/515)	28.6% (20/70)	75.7% (28/37)
Post hoc SGAs without specification in protocol	55.8% (33/59)	19.5% (48/246)	60.0% (12/60)	39.3% (11/28)
Pre-specification stated in trial reports, but not in protocols	25.7% (9/35)	34.6% (28/81)	57.1% (4/7)	--
Provided rationales for SGAs	11.9% (7/59)	--	--	--
Anticipated the direction of subgroup effect (SGE)	1.7% (1/57)	4.5% (11/246)	--	--
Considered statistical power for SGAs	0.0% (0/57)	2.4% (6/246)	--	--
Appropriate test for interaction	61.0% (36/59)	39.0% (96/246)	--	--
Sufficient reporting of SGAs	64.4% (38/59)	--	--	--
Claimed any SGEs	33.9% (20/59)	35.0% (86/246)	--	--

Note to Table 4: SGAs – subgroup analyses; SGEs – subgroup effects

**What is new?****Key findings**

- Inappropriate specification and reporting of subgroup analyses remain problematic in recently published protocols and reports of randomised controlled trials
- Subgroup analyses were often reported insufficiently for assessing the consistency of results of subgroup analyses across studies, and rationales for subgroup analyses were very rarely provided in trial protocols and in trial reports

**What this adds to what was known?**

- The present study summarised empirical evidence about what rationales were used for subgroup analyses in a large number of randomised controlled trials. Furthermore, this is the first to examine whether results of subgroup analyses were sufficiently reported to facilitate the checking of consistency in subgroup effects reported.

**What is the implication and what should change now?**

- Further research are required to accumulate more empirical evidence about how and why subgroup analyses are planned or conducted in clinical trials.
- Methodological and reporting guidance needs to focus more on sufficient reporting of pre-specified or post hoc subgroup analyses so as to facilitate checking of consistency in results of subgroup analyses across clinical trials.

**Contributors:** FS developed the initial idea, had full access to all of the data, and take responsibility for the integrity and accuracy of the data. FS, JCF and MOB finalised the study protocol. FS conducted literature search and randomly selected eligible trial protocols. JCF collected full text publications of the included trial protocols and corresponding trial reports. JCF extracted data from the trial protocols and trial reports. FS checked the data extracted, analysed data and drafted the manuscript. JCF and MOB critically commented on the draft manuscript, and all authors approved the final manuscript.

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