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# **Convalescent plasma in patients admitted to hospital with COVID-19 (RECOVERY): a randomised, controlled, open-label, platform trial**

**Running title:** Convalescent plasma for COVID-19

**The RECOVERY Collaborative Group\***

\*The writing committee and trial steering committee are listed at the end of this manuscript and a complete list of collaborators in the Randomised Evaluation of COVID-19 Therapy (RECOVERY) trial is provided in the Appendix.

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## 22 ABSTRACT

23 **Background:** Treatment of COVID-19 patients with plasma containing anti-SARS-CoV-  
24 2 antibodies may have a beneficial effect on clinical outcomes. We aimed to evaluate  
25 the safety and efficacy of convalescent plasma in patients admitted to hospital with  
26 COVID-19.

27 **Methods:** In this randomised, controlled, open-label, platform trial (Randomised  
28 Evaluation of COVID-19 Therapy [RECOVERY]) several possible treatments are being  
29 compared with usual care in patients hospitalised with COVID-19 in the UK. Eligible and  
30 consenting patients were randomly allocated to receive either usual care plus high titre  
31 convalescent plasma or usual care alone. The primary outcome was 28-day mortality.

32 **Findings:** Between 28 May 2020 and 15 January 2021, 5795 patients were randomly  
33 allocated to receive convalescent plasma and 5763 to usual care alone. There was no  
34 significant difference in 28-day mortality between the two groups: 1398 (24%) of 5795  
35 patients allocated convalescent plasma and 1408 (24%) of 5763 patients allocated  
36 usual care died within 28 days (rate ratio [RR] 1.00; 95% confidence interval [CI] 0.93 to  
37 1.07;  $p=0.93$ ). The 28-day mortality rate ratio was similar in all prespecified subgroups  
38 of patients, including in those patients without detectable SARS-CoV-2 antibodies at  
39 randomisation. Allocation to convalescent plasma had no significant effect on the  
40 proportion of patients discharged from hospital within 28 days (66% vs. 67%; rate ratio  
41 0.98; 95% CI 0.94-1.03,  $p=0.50$ ). Among those not on invasive mechanical ventilation  
42 at baseline, there was no significant difference in the proportion meeting the composite

43 endpoint of progression to invasive mechanical ventilation or death (28% vs. 29%; rate  
44 ratio 0.99; 95% CI 0.93-1.05, p=0.79).

45 **Interpretation:** Among patients hospitalised with COVID-19, high-titre convalescent  
46 plasma did not improve survival or other prespecified clinical outcomes.

47 **Funding:** UK Research and Innovation (Medical Research Council) and National  
48 Institute of Health Research (Grant refs: MC\_PC\_19056; COV19-RECPLA).

49 **Keywords:** COVID-19, convalescent plasma, randomised controlled trial, platform trial

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51

## 52 INTRODUCTION

53 A substantial proportion of individuals infected with severe acute respiratory syndrome  
54 coronavirus 2 (SARS-CoV-2) require hospital care, which can progress to critical illness  
55 with hypoxic respiratory failure. In those with severe Coronavirus Disease-19 (COVID-  
56 19), immunomodulation with corticosteroids and interleukin-6 receptor antagonists has  
57 been shown to improve survival.<sup>1,2</sup> Treatments that effectively inhibit viral replication  
58 may reduce tissue damage and allow time for the host to develop an adaptive immune  
59 response that will clear the infection. To date, however, no treatment directed against  
60 the virus has been shown to reduce mortality (although remdesivir may shorten the  
61 duration of hospital stay).<sup>3</sup>

62 Humoral immunity is a key component of the immune response to SARS-CoV-2 and  
63 matures over several weeks following infection. Anti-SARS-CoV-2 antibodies are  
64 detectable at a mean of 13 days after symptom onset, but neutralising titres do not peak  
65 until day 23 and there is wide variation in both the timing of seroconversion and peak  
66 antibody levels between infected individuals.<sup>4</sup> While patients with severe COVID-19  
67 generally have higher final antibody concentrations than those with mild disease, their  
68 antibody responses are delayed.<sup>5</sup> Antibodies may modulate acute viral disease either  
69 by a direct antiviral effect, binding and neutralizing free virus, or indirectly by activating  
70 antiviral pathways such as the complement cascade, phagocytosis and cellular  
71 cytotoxicity. Conversely, there is also a possibility that antibodies may enhance disease,

72 either by promoting viral entry or by pro-inflammatory mechanisms such as Fcγ receptor  
73 stimulation.<sup>6</sup>

74 Convalescent plasma has been used for over a hundred years as passive  
75 immunotherapy for influenza pneumonia, and more recently for SARS-CoV-1. While  
76 observational studies have suggested it may reduce mortality in severe viral respiratory  
77 infections, randomised evidence remains limited and inconclusive.<sup>7</sup> Convalescent  
78 plasma has been used widely outside of clinical trials, including by tens of thousands of  
79 patients in the United States Food and Drugs Administration (FDA) Expanded Access  
80 Program. An observational (non-randomised) analysis of 3082 patients who received  
81 convalescent plasma as part of that programme, reported that 30-day mortality was  
82 lower in those who had not received mechanical ventilation before transfusion with  
83 higher-titre plasma (containing higher concentrations of anti-SARS-CoV-2 spike IgG)  
84 compared to those transfused with lower-titre plasma.<sup>8</sup> A number of randomised trials of  
85 convalescent plasma in patients hospitalised with COVID-19 have been reported but  
86 these trials have all been small and inconclusive.<sup>9-17</sup> Moreover, hospitalised patients  
87 with COVID-19 are heterogeneous, and any benefit of convalescent plasma could  
88 depend on the stage of disease, i.e. possibly being limited to those with milder disease,  
89 early in the course of their illness or those who have not mounted an effective antibody  
90 response.<sup>12</sup> The efficacy of convalescent plasma as a treatment for patients hospitalised  
91 with COVID-19 is, therefore, currently uncertain. Here, we report the results of a large  
92 randomised trial to evaluate the efficacy and safety of convalescent plasma in patients  
93 hospitalised with COVID-19.

94

## 95 **METHODS**

### 96 **Study design and participants**

97 The Randomised Evaluation of COVID-19 therapy (RECOVERY) trial is an investigator-  
98 initiated, individually randomised, controlled, open-label, adaptive platform trial to  
99 evaluate the effects of potential treatments in patients hospitalised with COVID-19.  
100 Details of the trial design and results for other evaluated treatments (dexamethasone,  
101 hydroxychloroquine, lopinavir-ritonavir, azithromycin and tocilizumab) have been  
102 published previously.<sup>1,2</sup> The trial is conducted at 177 National Health Service (NHS)  
103 hospital organizations in the United Kingdom (appendix pp 5-28), supported by the  
104 National Institute for Health Research Clinical Research Network. The trial is  
105 coordinated by the the trial sponsor, the Nuffield Department of Population Health at the  
106 University of Oxford (Oxford, UK). The trial is conducted in accordance with the  
107 principles of the International Conference on Harmonisation–Good Clinical Practice  
108 guidelines and approved by the UK Medicines and Healthcare products Regulatory  
109 Agency (MHRA) and the Cambridge East Research Ethics Committee (ref:  
110 20/EE/0101). The protocol, statistical analysis plan, and additional information are  
111 available on the trial website [www.recoverytrial.net](http://www.recoverytrial.net).

112 Hospitalised patients of any age were eligible for the trial if they had clinically suspected  
113 or laboratory-confirmed SARS-CoV-2 infection and no medical history that might, in the  
114 opinion of the attending clinician, put them at significant risk if they were to participate in

115 the trial. Written informed consent was obtained from all patients or from their legal  
116 representative if they were too unwell or unable to provide consent.

### 117 **Randomisation and masking**

118 Baseline data collected using a web-based case report form that included  
119 demographics, level of respiratory support, major comorbidities, suitability of the trial  
120 treatment for a particular patient and treatment availability at the trial site site (appendix  
121 pp 35-37). Patients had a serum sample taken prior to randomisation for the purpose of  
122 assessing the presence of antibodies against SARS-CoV-2. Eligible and consenting  
123 patients were allocated in a ratio of 1:1:1 to either usual care, usual care plus  
124 convalescent plasma or (from 18 September 2020) usual care plus REGN-COV2 (a  
125 combination of two monoclonal antibodies directed against SARS-CoV-2 spike protein).  
126 The REGN-COV2 evaluation is ongoing and not reported here. Randomisation was  
127 web-based simple (unstratified) randomisation with allocation concealment (appendix  
128 pp 33-34). For some patients, convalescent plasma was either declined, unavailable at  
129 the trial site at the time of enrolment, or considered in the opinion of the attending doctor  
130 to be definitely contraindicated (e.g. known moderate or severe allergy to blood  
131 components or unwilling to receive a blood product). These patients were ineligible for  
132 randomisation to the comparison of convalescent plasma versus usual care.

133 As a platform trial and in a factorial design, patients could be simultaneously  
134 randomised to other treatment groups: i) hydroxychloroquine or dexamethasone or  
135 azithromycin or lopinavir-ritonavir versus usual care, ii) aspirin versus usual care, and iii)  
136 colchicine versus usual care (appendix pp 33-34). The trial also allowed a subsequent

137 randomisation for patients with progressive COVID-19 (evidence of hypoxia and a  
138 hyper-inflammatory state) to tocilizumab versus usual care. Participants and local study  
139 staff were not masked to the allocated treatment. Several of these treatment arms were  
140 added to or removed from the protocol over the period that convalescent plasma was  
141 evaluated (appendix pp 29-34). The trial steering committee, investigators, and all other  
142 individuals involved in the trial were masked to outcome data during the trial.

### 143 **Procedures**

144 Convalescent plasma donors were recruited and screened by the four UK blood  
145 services: NHS Blood and Transplant; Northern Ireland Blood Transfusion Service;  
146 Scottish National Blood Transfusion Service; and the Welsh Blood Service (appendix pp  
147 2-4 and p 29). Only plasma donations with sample to cut-off (S/CO) ratio of 6.0 or above  
148 on the EUROIMMUN IgG enzyme-linked immunosorbent assay (ELISA) test targeting  
149 the spike (S) glycoprotein (PerkinElmer, London, UK) were supplied for the RECOVERY  
150 trial use (appendix p 29). This assay cut-off was previously demonstrated to be  
151 associated with the presence of neutralising antibody titres of  $\geq 1:100$  in convalescent  
152 plasma.<sup>18</sup> The United States Food and Drug Administration (US FDA) have determined  
153 that convalescent plasma with a EUROIMMUN S/CO of  $\geq 3.5$  qualifies as high-titre and  
154 can be used for the treatment of hospitalised patients under an Emergency use  
155 Authorization (EUA).<sup>19</sup> For those allocated convalescent plasma, two units (275mls  $\pm$   
156 75mls) were given intravenously, the first as soon as possible after randomisation and  
157 the second (from a different donor) the following day and at least 12 hours after the first.



158 Early safety outcomes were recorded using an online form 72 hours following  
159 randomisation (appendix pp 38-42). An online follow-up form was completed when  
160 patients were discharged, had died, or at 28 days after randomisation, whichever  
161 occurred earlier (appendix pp 43-49). Information was recorded on adherence to  
162 allocated trial treatment, receipt of other COVID-19 treatments, duration of admission,  
163 receipt of respiratory or renal support, and vital status (including cause of death). In  
164 addition, routine health care and registry data were obtained including information on  
165 vital status at day 28 (with date and cause of death); discharge from hospital; and  
166 receipt of respiratory support or renal replacement therapy.

#### 167 **Measurement of participant baseline SARS-CoV-2 serostatus**

168 Baseline SARS-CoV-2 serostatus for each participant was determined using serum  
169 samples taken at the time of randomisation. Analysis was performed at a central  
170 laboratory using a validated 384-well plate indirect ELISA (appendix p 29).<sup>20</sup>  
171 Participants were categorised as seropositive or seronegative using a predefined assay  
172 threshold that has  $\geq 99\%$  sensitivity and specificity in detecting individuals with SARS-  
173 CoV-2 infection at least 20 days previously.<sup>20</sup>

#### 174 **Outcomes**

175 Outcomes were assessed at 28 days after randomisation, with further analyses  
176 specified at six months. The primary outcome was all-cause mortality. Secondary  
177 outcomes were time to discharge from hospital and, among patients not receiving  
178 invasive mechanical ventilation at randomisation, subsequent receipt of invasive  
179 mechanical ventilation (including extra-corporeal membrane oxygenation) or death.

180 Prespecified, subsidiary clinical outcomes included receipt of ventilation, time to  
181 successful cessation of invasive mechanical ventilation (defined as removal of invasive  
182 mechanical ventilation within, and survival to, 28 days), and use of renal dialysis or  
183 haemofiltration.

184 Prespecified safety outcomes were transfusion related adverse events at 72 hours  
185 following randomisation (worsening respiratory status, suspected transfusion reaction,  
186 fever, hypotension, haemolysis, and thrombotic events), cause-specific mortality, and  
187 major cardiac arrhythmia. Information on serious adverse reactions to convalescent  
188 plasma was collected in an expedited fashion via the existing NHS Serious Hazards Of  
189 Transfusion (SHOT) haemovigilance scheme.

## 190 **Statistical Analysis**

191 In accordance with the statistical analysis plan, an intention-to-treat comparison was  
192 conducted between patients randomised to convalescent plasma and patients  
193 randomised to usual care in those for whom convalescent plasma was both available  
194 and suitable as a treatment. For the primary outcome of 28-day mortality, the log-rank  
195 observed minus expected statistic and its variance were used both to test the null  
196 hypothesis of equal survival curves (i.e. the log-rank test) and to calculate the one-step  
197 estimate of the average mortality rate ratio. We constructed Kaplan-Meier survival  
198 curves to display cumulative mortality over the 28-day period. We used similar methods  
199 to analyse time to hospital discharge and successful cessation of invasive mechanical  
200 ventilation, with those patients who died in hospital right-censored on day 29. Median  
201 time to discharge was derived from Kaplan-Meier estimates. For the prespecified,  
202 composite, secondary outcome of progression to invasive mechanical ventilation or

203 death within 28 days (among those not receiving invasive mechanical ventilation at  
204 randomisation) and the subsidiary clinical outcomes of receipt of ventilation and use of  
205 haemodialysis or haemofiltration, the precise dates were not available and so the risk  
206 ratio was estimated instead. (Through the play of chance, a slightly lower proportion of  
207 males were allocated convalescent plasma than usual care; analyses adjusted for sex  
208 are provided in the appendix [webtable 7] and are virtually identical to the main results  
209 shown.) Sensitivity analyses of the primary and secondary outcomes were conducted  
210 among those patients with a positive PCR test for SARS-CoV-2.

211 Prespecified analyses of the primary outcome were performed in seven subgroups  
212 defined by characteristics at randomisation: age, sex, ethnicity, level of respiratory  
213 support received, days since symptom onset, use of systemic corticosteroids, and  
214 presence of anti-SARS-CoV-2 antibody. Observed effects within these subgroup  
215 categories were compared using a chi-squared test for heterogeneity or trend. *Post-hoc*  
216 exploratory analyses included further examination by days since symptom according to  
217 four rather than two levels and by level of respiratory support by sub-dividing the  
218 'oxygen only' group into three sub-categories. In late 2020, a new SARS-CoV-2 variant,  
219 named B.1.1.7, with multiple substitutions in the receptor binding domain of the spike  
220 glycoprotein emerged in southeast England and rapidly grew to become the dominant  
221 virus variant throughout the UK.<sup>21</sup> Convalescent plasma from individuals infected prior  
222 to the emergence of B.1.1.7 show a modest reduction in ability to neutralize B.1.1.7  
223 compared with earlier SARS-CoV-2 virus variants.<sup>22</sup> The clinical significance of this  
224 reduced in vitro neutralisation is not known. To assess if there was evidence of a  
225 difference in the effectiveness of convalescent plasma before and after the emergence

226 of B.1.1.7, a further *post-hoc* exploratory analysis was done of the primary outcome  
227 comparing effects in those randomised before 1 December 2020 with those randomised  
228 from 1 December 2020 onwards.<sup>21</sup>

229 Estimates of rate and risk ratios are shown with 95% confidence intervals. All p-values  
230 are 2-sided and are shown without adjustment for multiple testing. The full database is  
231 held by the trial team who pooled the data from trial sites and performed the analyses at  
232 the Nuffield Department of Population Health, University of Oxford.

233 Analyses were performed using SAS version 9.4 and R version 3.4. The trial is  
234 registered with ISRCTN (50189673) and clinicaltrials.gov (NCT04381936).

### 235 **Sample size and decision to stop enrolment**

236 As stated in the protocol, appropriate sample sizes could not be estimated when the trial  
237 was being planned at the start of the COVID-19 pandemic. During the trial, external  
238 data suggested that any benefits of antibody-based therapies may be greater among  
239 those patients who had not raised an adequate antibody response of their own.<sup>12</sup>  
240 Consequently, while still blind to the results of the trial, the RECOVERY steering  
241 committee determined that the trial should enrol sufficient patients to provide at least  
242 90% power at a two-sided p-value of 0.01 to detect a proportional reduction in 28-day  
243 mortality of one-fifth among those patients with and, separately, without detectable  
244 SARS-CoV-2 antibodies at randomisation (appendix p 34).

245 On 7<sup>th</sup> January 2021, the independent data monitoring committee (DMC) conducted a  
246 routine review of the data and recommended that the chief investigators pause the

247 recruitment to the convalescent plasma comparison in those patients receiving invasive  
248 mechanical ventilation (including extracorporeal membrane oxygenation) at the time of  
249 randomisation. At the same time, the DMC recommended that recruitment to the  
250 convalescent plasma comparison continue for all other eligible patients.

251 On 14<sup>th</sup> January 2021, the DMC conducted another routine review of the data and  
252 notified the chief investigators that there was no convincing evidence that further  
253 recruitment would provide conclusive proof of worthwhile mortality benefit either overall  
254 or in any pre-specified subgroup. The DMC therefore recommended that recruitment to  
255 the convalescent plasma portion of the study should cease and follow-up be completed.  
256 Enrolment of patients to the convalescent plasma group was closed on 15<sup>th</sup> January  
257 2021 and the preliminary result for the primary outcome was made public.

### 258 **Role of the funding source**

259 The funders of the trial had no role in trial design, data collection, data analysis, data  
260 interpretation, or writing of the report. The corresponding authors had full access to all  
261 the data in the study and had final responsibility for the decision to submit for  
262 publication.

263

264

## 265 **RESULTS**

### 266 **Patients**

267 Between 28 May 2020 and 15 January 2021, 13127 (81%) of 16287 patients enrolled  
268 into the RECOVERY trial, were eligible to be randomised to convalescent plasma (that  
269 is, convalescent plasma was available in the hospital at the time and the patient had no  
270 known contraindication to convalescent plasma (figure 1). Of these, 5795 were  
271 randomised to convalescent plasma plus usual care and 5763 were randomised to  
272 usual care alone (figure 1), with the remainder being randomised to receive REGN-  
273 COV2. The mean age of trial patients in this comparison was 63.5 (SD 14.7) years and  
274 the median time from symptom onset to randomization was 9 days (IQR 6 – 12) (table  
275 1, webtable 1). At randomisation, 617 (5%) were receiving invasive mechanical  
276 ventilation, 10044 (87%) were receiving oxygen only (with or without non-invasive  
277 respiratory support), and 897 (8%) were receiving no oxygen therapy (webtable 1). 92%  
278 of patients were receiving corticosteroids at time of randomisation.

279 Of the 9385 (81%) patients for whom a baseline serology result was available, 5774  
280 (62%) were SARS-CoV-2 antibody seropositive (webtable 1). Patients were more likely  
281 to be seronegative if they were older, female, white, had shorter duration of symptoms,  
282 were receiving less intensive respiratory support, or were SARS-CoV-2 RNA negative  
283 by PCR (webtable 2). There was an imbalance in the availability of a baseline serology  
284 sample, with more missing samples in the usual care arm (table1). (This likely reflects a  
285 mistaken belief by some trial staff that a serology sample was only required in patients  
286 allocated to convalescent plasma.)

287 Among the 5795 patients allocated to convalescent plasma, 4675 (81%) received two  
288 units, 671 (12%) received one unit, and 449 (8%) received no units (webtable 3). Only  
289 two patients received both convalescent plasma units from the same donor. Forty-five  
290 (1%) patients allocated to usual care received convalescent plasma. Use of  
291 corticosteroids and remdesivir following randomisation was similar among patients  
292 allocated convalescent plasma and among those allocated usual care (webtable 3).  
293 Fewer patients received tocilizumab or sarilumab in the convalescent plasma group (8%  
294 vs. 10%, webtable 3).

295 There was no significant difference in 28-day mortality between the two randomised  
296 groups, with death reported in 1398 of 5795 patients (24%) allocated convalescent  
297 plasma versus 1408 of 5763 patients (24%) allocated usual care (rate ratio, 1.00; 95%  
298 confidence interval [CI], 0.93 to 1.07;  $P=0.93$ ) (figure 2). We observed similar results  
299 across all subgroups with no evidence of heterogeneity of effect in either the pre-  
300 specified (figure 3) or the exploratory *post-hoc* (webfigure 1) subgroup analyses, and  
301 similar results in analyses restricted to those patients with a positive SARS-CoV-2 test  
302 (rate ratio 1.00; 95% CI, 0.93 to 1.08;  $P=0.98$ ). Although 28-day mortality was higher  
303 among those patients who were seronegative at randomisation, the proportional effect  
304 of allocation to convalescent plasma on 28-day mortality was similar among  
305 seropositive patients (19% versus 18%; rate ratio, 1.05; 95% CI, 0.93 to 1.19) and  
306 seronegative patients (32% versus 34%; rate ratio, 0.94; 95% CI, 0.84 to 1.06) (figure  
307 3; webfigure 2).

308 The median time to discharge was 11 days in both those allocated convalescent plasma  
309 and those allocated usual care, and allocation to convalescent plasma was associated  
310 with a similar probability of discharge alive within 28 days compared to usual care (66%  
311 vs. 67%, rate ratio 0.98 95% CI 0.94 to 1.03,  $p=0.50$ ) (table 2). Among those not  
312 receiving invasive mechanical ventilation at baseline, the number of patients  
313 progressing to the prespecified composite secondary outcome of invasive mechanical  
314 ventilation or death was similar for those allocated to convalescent plasma or usual care  
315 (28% versus 29%, risk ratio 0.99 95% CI 0.93 to 1.05,  $p=0.79$ ) (table 2). For both of  
316 these secondary outcomes, there was some evidence of heterogeneity by patient  
317 SARS-CoV-2 antibody test result, with slightly more favourable outcomes with  
318 convalescent plasma seen among seronegative than among seropositive patients  
319 (webfigures 3 and 4). Results were consistent across all other pre-specified subgroups  
320 of patients.

321 We observed no significant differences in the prespecified subsidiary clinical outcomes  
322 of use of ventilation, successful cessation of invasive mechanical ventilation, or  
323 progression to use of renal replacement therapy (table 2).

324 We observed no significant differences in cause-specific mortality (webtable 4). Within  
325 the first 72 hours after randomisation, severe allergic reactions were reported for 16  
326 patients in the convalescent plasma group vs. 2 patients in the usual care group. The  
327 frequency of sudden worsening in respiratory status, temperature  $>39^{\circ}\text{C}$  or  $\geq 2^{\circ}\text{C}$  rise  
328 above baseline, sudden hypotension, clinical haemolysis, and thrombotic events were  
329 broadly similar in the two groups (webtable 5). We also observed no significant  
330 differences in the frequency of major cardiac arrhythmia (webtable 6). There were 13



331 serious adverse reactions reported to SHOT: 9 patients with pulmonary reactions  
332 (including 3 deaths possibly related to transfusion), and 4 patients with serious febrile,  
333 allergic or hypotensive reactions (all of whom recovered).

## 334 **DISCUSSION**

335 The results of this large, randomised trial show that convalescent plasma did not  
336 improve survival or other clinical outcomes in patients hospitalised with COVID-19. The  
337 results were consistent across subgroups of age, sex, ethnicity, duration of symptoms  
338 prior to randomisation, level of respiratory support received at randomisation, and use of  
339 corticosteroids. Nine other randomised trials of convalescent plasma for the treatment of  
340 hospitalised patients with COVID-19 have been reported, which, together, have  
341 included fewer than 200 deaths.<sup>9-17</sup> None of these trials have demonstrated a beneficial  
342 effect of convalescent plasma on mortality. Taking the results of all trials together,  
343 including RECOVERY (which is more than ten times larger than all other trials  
344 combined) allocation to convalescent plasma does not improve mortality (mortality RR  
345 0.99, 95% CI 0.92–1.06,  $p=0.77$  (figure 4).

346 It has been suggested that the benefits of convalescent plasma may depend on the  
347 transfused neutralising titre, and that using plasma with lower titres could explain  
348 negative results from previous randomised trials. In RECOVERY, all convalescent  
349 plasma was supplied via the UK National Blood Services using standardised laboratory  
350 processing. Convalescent donors were chosen based on high anti-spike IgG levels,  
351 using an ELISA that has been shown to correlate well with neutralising antibody.<sup>23-25</sup> We  
352 used a EUROIMMUN S/CO ratio of  $\geq 6$  for plasma to qualify for use in this trial, which is  
353 substantially above the level of  $\geq 3.5$  that the US FDA recognises as high titre.<sup>19</sup>

354 Recipients received plasma from two different donors to increase the chance that at  
355 least one contained higher levels of neutralising antibodies.

356 The presence of anti-SARS-CoV-2 antibodies in recipients prior to transfusion with  
357 convalescent plasma has also been cited as a possible reason for a lack of effect of  
358 convalescent plasma.<sup>12</sup> In this trial we found that around 38% of patients were  
359 seronegative at randomisation and, although they had a markedly higher 28-day  
360 mortality risk than seropositive patients, we did not observe a survival benefit from  
361 convalescent plasma in these seronegative patients. There was, however, a suggestion  
362 of small improvements (proportional risk reduction of about one tenth) in the probability  
363 of successful discharge from hospital by day 28 and of progressing to invasive  
364 mechanical ventilation or death in seronegative patients allocated to convalescent  
365 plasma. The apparent heterogeneity in these secondary outcomes according to  
366 serostatus should be interpreted with a great deal of caution however, not least because  
367 (perhaps by chance or perhaps as a result of conscious or unconscious decisions about  
368 who to collect a serological sample from) the seronegative convalescent plasma  
369 recipients were slightly younger than the seronegative usual care group, whereas  
370 seropositive convalescent plasma recipients were slightly older than the seropositive  
371 usual care group (webtable 2). Due to the known strong effects of age on mortality risk,  
372 even these minor age imbalances could have led to a spuriously lower relative relative  
373 risk of death in the seronegative convalescent plasma recipients and a spuriously higher  
374 relative risk of death in the seropositive convalescent plasma recipients.

375 It has also been suggested that antibody based therapies are likely to be most effective  
376 in the early stages of COVID-19, when viral replication dominates.<sup>26</sup> We did not identify

377 a benefit when we stratified by time since onset of illness in the main analysis (or in an  
378 exploratory analysis further subdividing time since illness onset). However, RECOVERY  
379 only included patients admitted to hospital and does not, therefore, address whether  
380 convalescent plasma may be of benefit if given early after SARS-CoV-2 infection and  
381 before the onset of significant disease.

382 Following randomisation to convalescent plasma, patients with hypoxia and a raised C-  
383 reactive protein (CRP  $\geq 75$ mg/L) were eligible for a second randomisation to usual care  
384 versus usual care plus tocilizumab. Although a slightly lower proportion of patients  
385 allocated convalescent plasma subsequently received tocilizumab than patients  
386 allocated usual care (8% vs 10%, webtable 3), and although tocilizumab itself reduces  
387 28-day mortality by around 15%,<sup>1</sup> this difference in the likelihood of progression to the  
388 second randomisation is far too small to have had any material impact on our estimate  
389 of the effect of convalescent plasma on mortality (or other outcomes).

390 SARS-CoV-2 is an RNA virus with antigenic variability. The efficacy of convalescent  
391 plasma is likely to depend on the 'match' between the strain-specific transfused anti-  
392 SARS-CoV-2 antibodies in donor plasma and the infecting virus variant in the recipient.  
393 In December 2020 a new SARS-CoV-2 variant (B.1.1.7) was detected in the South East  
394 and East of England, with an earliest date of detection in September, which spread  
395 rapidly to become the dominant SARS-CoV-2 variant, in most regions of the UK, by  
396 January 2021.<sup>27</sup> Whilst B.1.1.7 has changes in the spike glycoprotein that could  
397 theoretically modify antigenicity, only modest reductions in neutralisation by  
398 convalescent plasma have been reported.<sup>28</sup> Consistent with this, we did not identify any

399 evidence of a differential effect of convalescent plasma prior to and after the emergence  
400 of B.1.1.7 in the UK.<sup>22</sup>

401 During an epidemic caused by a novel virus, convalescent plasma is an appealing  
402 treatment as it may be available within weeks of the outbreak, long before other  
403 targeted therapies are available. Consequently, convalescent plasma has been widely  
404 used for COVID-19 outside of clinical trials but, until now, there has been insufficient  
405 evidence from randomised trials to reliably assess its safety and efficacy.<sup>8</sup> In  
406 RECOVERY, the largest clinical trial of convalescent plasma for any infectious  
407 indication, high-titre convalescent plasma did not improve survival or other prespecified  
408 clinical outcomes.

409

## 410 **Contributors**

411 This manuscript was initially drafted by the PWH and MJL, further developed by the  
412 Writing Committee, and approved by all members of the trial steering committee. PWH  
413 and MJL vouch for the data and analyses, and for the fidelity of this report to the trial  
414 protocol and data analysis plan. PWH, LE, LP, MM, JKB, LCC, SNF, TJ, KJ, WSL, AM,  
415 KR, EJ, DR, RH, and MJL designed the trial and trial protocol. MM, AR, G P-A, NB, TG,  
416 DZ, ST, NA, AU, JW, GK, TB, SS, RH, the Data Linkage team at the RECOVERY  
417 Coordinating Centre, Health Records, and Local Clinical Centre staff listed in the  
418 appendix collected the data. ES, NS, and JRE did the statistical analysis. LE, DR, and  
419 the blood and transfusion service staff listed in the appendix coordinated the collection  
420 and supply of convalescent plasma. SH ran the ELISA assays on patient samples. All  
421 authors contributed to data interpretation and critical review and revision of the  
422 manuscript. PWH and MJL had access to the trial data and had final responsibility for  
423 the decision to submit for publication.

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## 485 **Declaration of interests**

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492 [independence-of-research-policy-jun-20.pdf](https://www.ndph.ox.ac.uk/files/about/ndph-independence-of-research-policy-jun-20.pdf)).

## 493 **DATA SHARING**

494 The protocol, consent form, statistical analysis plan, definition & derivation of clinical  
495 characteristics & outcomes, training materials, regulatory documents, and other relevant  
496 trial materials are available online at [www.recoverytrial.net](http://www.recoverytrial.net). As described in the protocol,  
497 the trial steering committee will facilitate the use of the trial data and approval will not be  
498 unreasonably withheld. Deidentified participant data will be made available to bona fide  
499 researchers registered with an appropriate institution within 3 months of publication.  
500 However, the steering committee will need to be satisfied that any proposed publication  
501 is of high quality, honours the commitments made to the trial patients in the consent  
502 documentation and ethical approvals, and is compliant with relevant legal and  
503 regulatory requirements (e.g. relating to data protection and privacy). The steering  
504 committee will have the right to review and comment on any draft manuscripts prior to  
505 publication. Data will be made available in line with the policy and procedures described

506 at: <https://www.ndph.ox.ac.uk/data-access>. Those wishing to request access should  
507 complete the form at  
508 [https://www.ndph.ox.ac.uk/files/about/data\\_access\\_enquiry\\_form\\_13\\_6\\_2019.docx](https://www.ndph.ox.ac.uk/files/about/data_access_enquiry_form_13_6_2019.docx)  
509 and e-mailed to: [data.access@ndph.ox.ac.uk](mailto:data.access@ndph.ox.ac.uk)

510

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- 626
- 627

628 **Table 1: Baseline characteristics**

|  | <b>Convalescent<br/>Plasma<br/>(n=5795)</b> | <b>Usual Care<br/>(n=5763)</b> |
|--|---|--------------------------------|
| Age, years                                 | 63.6 (14.7)                                 | 63.4 (14.6)                    |
| <70*                                       | 3705 (64)                                   | 3748 (65)                      |
| 70 to 79                                   | 1310 (23)                                   | 1280 (22)                      |
| ≥80  | 780 (13)                                    | 735 (13)                       |
| Sex  |   |                                |
| Men  | 3643 (63)                                   | 3787 (66)                      |
| Women†                                     | 2152 (37)                                   | 1976 (34)                      |
| Ethnicity                                  |   |                                |
| White                                      | 4362 (75)                                   | 4293 (74)                      |
| Black, Asian, and minority ethnic          | 853 (15)                                    | 889 (15)                       |
| Unknown                                    | 580 (10)                                    | 581 (10)                       |
| Number of days since symptom onset         | 9 (6-12)                                    | 9 (6-12)                       |
| Number of days since admission to hospital | 2 (1-3)                                     | 2 (1-4)                        |
| Respiratory support received               |   |                                |
| No oxygen received                         | 442 (8)                                     | 455 (8)                        |
| Oxygen only‡                               | 5051 (87)                                   | 4993 (87)                      |
| Invasive mechanical ventilation            | 302 (5)                                     | 315 (5)                        |
| Previous diseases                          |   |                                |
| Diabetes                                   | 1535 (26)                                   | 1569 (27)                      |
| Heart disease                              | 1267 (22)                                   | 1309 (23)                      |
| Chronic lung disease                       | 1385 (24)                                   | 1328 (23)                      |
| Tuberculosis                               | 20 (<1)                                     | 23 (<1)                        |
| HIV  | 17 (<1)                                     | 19 (<1)                        |
| Severe liver disease§                      | 70 (1)                                      | 72 (1)                         |
| Severe kidney impairment¶                  | 323 (6)                                     | 293 (5)                        |
| Any of the above                           | 3203 (55)                                   | 3222 (56)                      |
| SARS-CoV-2 PCR test result                 |   |                                |
| Positive                                   | 5581 (96)                                   | 5559 (96)                      |
| Negative                                   | 125 (2)                                     | 113 (2)                        |
| Unknown                                    | 89 (2)                                      | 91 (2)                         |
| Patient SARS-CoV-2 antibody test result    |   |                                |
| Positive                                   | 3022 (52)                                   | 2752 (48)                      |
| Negative                                   | 1982 (34)                                   | 1629 (28)                      |
| Missing                                    | 791 (14)                                    | 1382 (24)                      |
| Corticosteroids received                   |   |                                |
| Yes  | 5370 (93)                                   | 5311 (92)                      |
| No   | 391 (7)                                     | 413 (7)                        |
| Not recorded                               | 34 (1)                                      | 39 (1)                         |
| Other randomised treatments                |   |                                |
| Lopinavir-ritonavir                        | 5 (<1)                                      | 14 (<1)                        |
| Dexamethasone                              | 3 (<1)                                      | 3 (<1)                         |
| Hydroxychloroquine                         | 1 (<1)                                      | 0                              |
| Azithromycin                               | 587 (10)                                    | 585 (10)                       |
| Colchicine                                 | 792 (14)                                    | 791 (14)                       |
| Aspirin                                    | 1266 (22)                                   | 1207 (21)                      |

Data are mean (SD), n (%), or median (IQR). \*Includes 26 children (<18 years). † Includes 28 pregnant women. ‡ Includes non-invasive ventilation. § Defined as requiring ongoing specialist care. ¶ Defined as estimated glomerular filtration rate <30 mL/min per 1.73 m<sup>2</sup>



629

630 **Table 2: Primary, Secondary and Subsidiary Outcomes**

|   | <b>Convalescent plasma<br/>(n=5795)</b> | <b>Usual Care<br/>(n=5763)</b> | <b>RR (95% CI)</b> | <b>p value</b> |
|---|---|--------------------------------|--------------------|----------------|
| <b>Primary outcome</b>                                    |   |                                |                    |                |
| Mortality at 28 days                                      | 1398 (24%)                              | 1408 (24%)                     | 1.00 (0.93-1.07)   | 0.93           |
| <b>Secondary outcomes</b>                                 |   |                                |                    |                |
| Median duration of hospitalization, days                  | 11                                      | 11                             | -                  | -              |
| Discharged from hospital within 28 days                   | 3850 (66%)                              | 3846 (67%)                     | 0.98 (0.94-1.03)   | 0.50           |
| Invasive mechanical ventilation or death*                 | 1561/5493 (28%)                         | 1561/5448 (29%)                | 0.99 (0.93-1.05)   | 0.79           |
| Invasive mechanical ventilation                           | 670/5493 (12%)                          | 681/5448 (13%)                 | 0.98 (0.88-1.08)   | 0.63           |
| Death   | 1240/5493 (23%)                         | 1263/5448 (23%)                | 0.97 (0.91-1.04)   | 0.45           |
| <b>Subsidiary outcomes</b>                                |   |                                |                    |                |
| Use of ventilation †                                      | 860/3564 (24%)                          | 863/3441 (25%)                 | 0.96 (0.89-1.04)   | 0.36           |
| Non-invasive ventilation                                  | 822/3564 (23%)                          | 821/3441 (24%)                 | 0.97 (0.89-1.05)   | 0.43           |
| Invasive mechanical ventilation                           | 226/3564 (6%)                           | 237/3441 (7%)                  | 0.92 (0.77-1.10)   | 0.36           |
| Successful cessation of invasive mechanical ventilation ‡ | 87/302 (29%)                            | 112/315 (36%)                  | 0.77 (0.59-1.03)   | 0.07           |
| Renal replacement therapy §                               | 258/5729 (5%)                           | 249/5713 (4%)                  | 1.03 (0.87-1.22)   | 0.71           |

Data are n (%) or n/N (%). RR=rate ratio for the outcomes of 28-day mortality, hospital discharge, and successful cessation of invasive mechanical ventilation, and risk ratio for other outcomes.

\* Analyses exclude those on invasive mechanical ventilation at randomisation.

† Analyses exclude those on invasive or non-invasive ventilation at randomisation.

‡ Analyses exclude those not receiving invasive mechanical ventilation at randomisation.

§ Analyses exclude those on renal replacement therapy at randomisation.

631

632

633 **Figures**

634

635 **Figure 1: Trial profile - Flow of patients through the RECOVERY trial**

636 \* Number recruited overall during period that patients could be recruited into

637 convalescent plasma comparison.

638 † A second randomisation to tocilizumab versus usual care in patients with hypoxia and

639 C-reactive protein  $\geq 75$  mg/L was introduced in protocol version 4.0. 426 patients in the

640 convalescent plasma arm were randomised to tocilizumab vs. 486 randomised to usual

641 care alone. 573 patients in the usual care arm were randomised to tocilizumab vs. 552

642 patients randomised to usual care alone.

643

644 **Figure 2: Effect of allocation to convalescent plasma on 28-day mortality**

645

646 **Figure 3: Effect of allocation to convalescent plasma on 28-day mortality by**  
647 **prespecified characteristics at randomisation**

648 Subgroup-specific rate ratio estimates are represented by squares (with areas of the

649 squares proportional to the amount of statistical information) and the lines through them

650 correspond to the 95% CIs. The ethnicity, days since onset and use of corticosteroids

651 subgroups exclude those with missing data, but these patients are included in the

652 overall summary diamond. Information on use of corticosteroids was collected from 18

653 June 2020 onwards following announcement of the results of the dexamethasone

654 comparison from the RECOVERY trial.

655

656

657 **Figure 4: Convalescent plasma vs. usual care in patients hospitalised with COVID**

658 **– meta-analysis of mortality in RECOVERY and other trials**

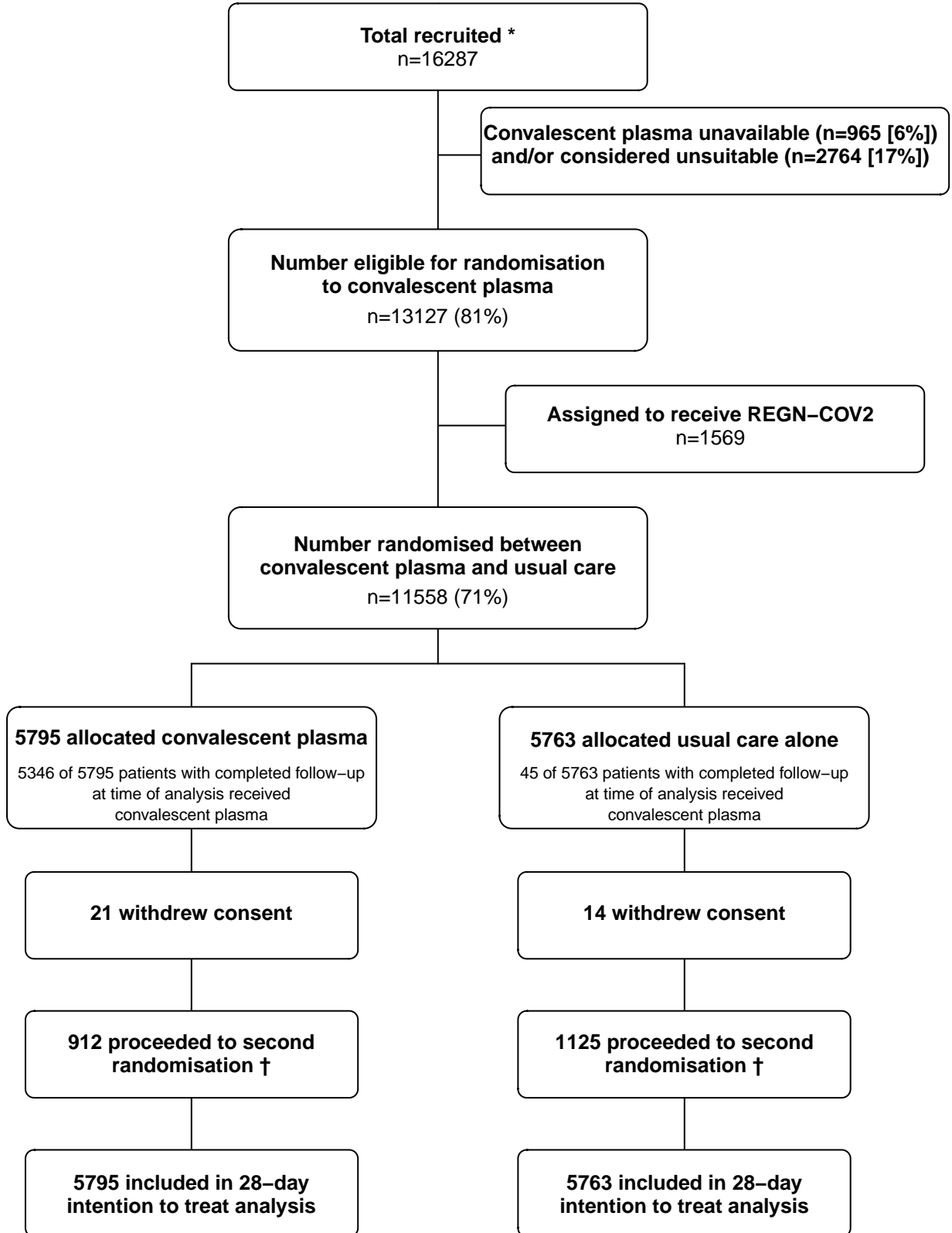
659 \* Log-rank O-E for RECOVERY, O-E from 2x2 tables for the other trials. RR is  
660 calculated by taking  $\ln RR$  to be  $(O-E)/V$  with Normal variance  $1/V$ . Subtotals or totals  
661 of  $(O-E)$  and of  $V$  yield inverse-variance-weighted averages of the  $\ln RR$  values.

662 † For balance, controls in the 2:1 study by Simonovich count twice in the control totals  
663 and subtotal

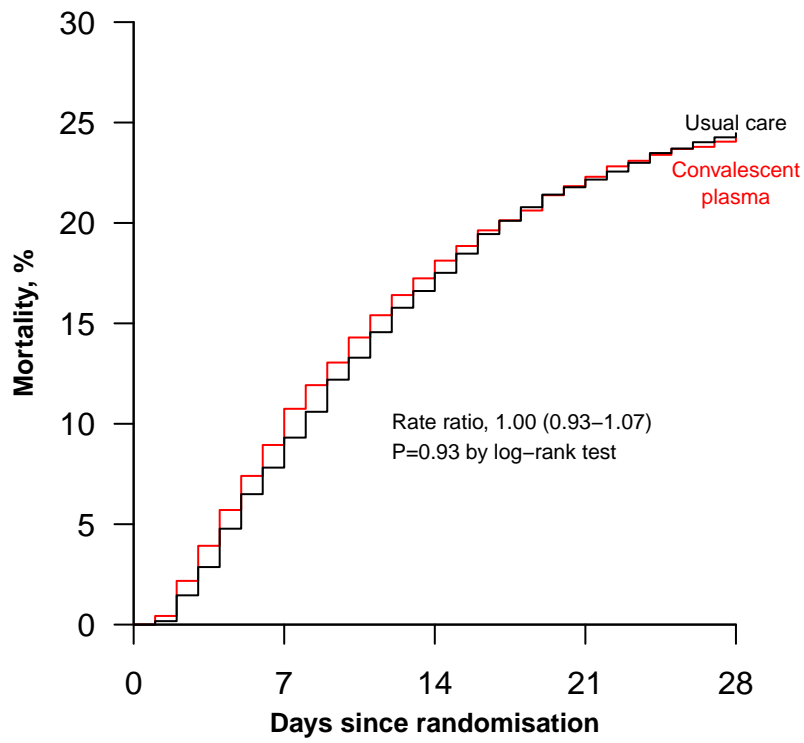
664

# Figure 1: Trial profile – Flow of participants through the RECOVERY trial

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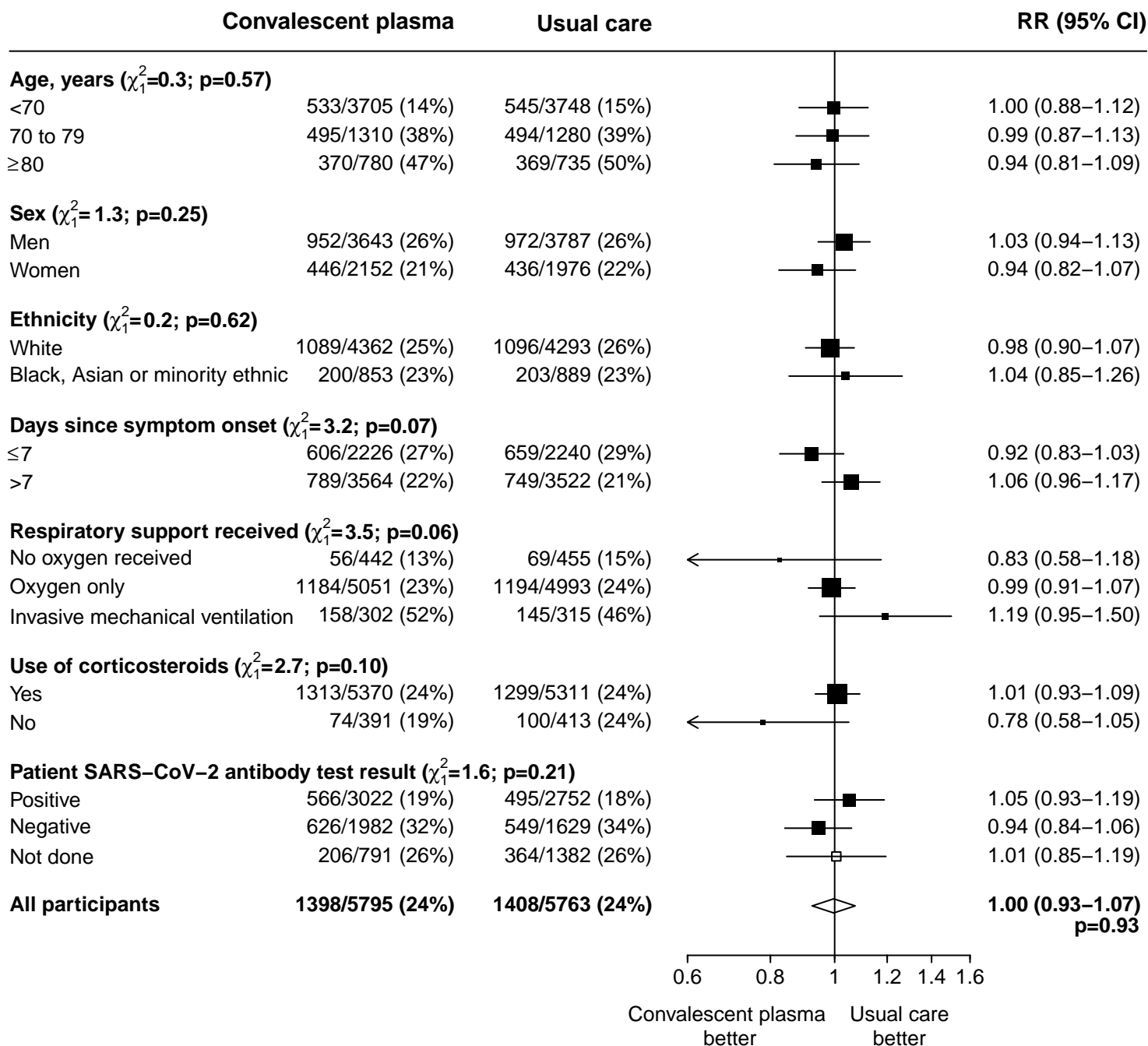
## Figure 2: Effect of allocation to convalescent plasma on 28-day mortality



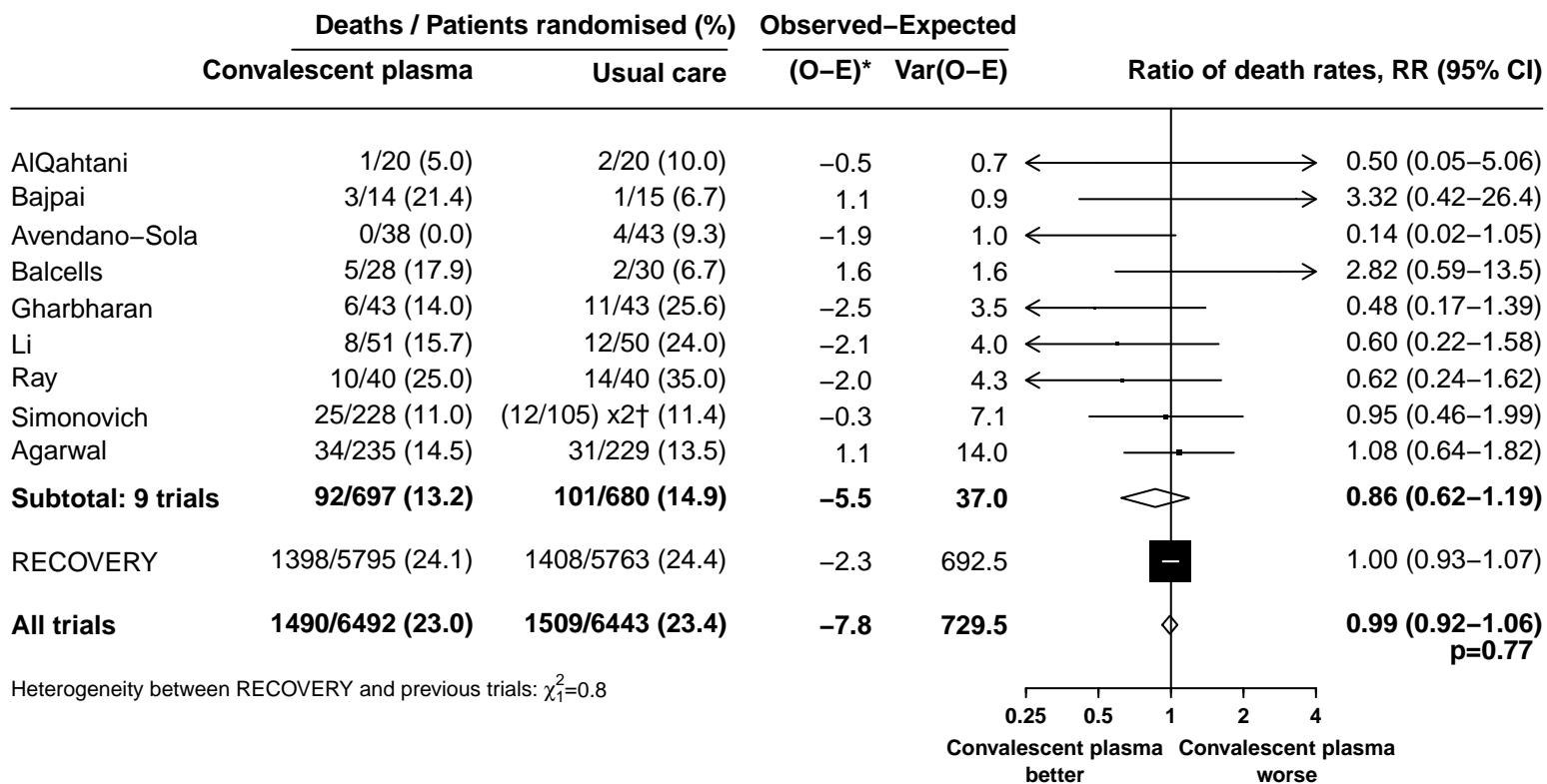
**No. at risk**

|                     |      |      |      |      |      |
|---------------------|------|------|------|------|------|
| Convalescent plasma | 5795 | 5154 | 4727 | 4486 | 4376 |
| Usual Care          | 5763 | 5218 | 4744 | 4475 | 4341 |

**Figure 3: Effect of allocation to convalescent plasma on 28-day mortality by prespecified characteristics at randomisation**



## Figure 4: Convalescent plasma vs usual care in patients hospitalised with COVID – Meta-analysis of mortality in RECOVERY and other trials



\* Log-rank O-E for RECOVERY, O-E from 2x2 tables for the other trials. RR is calculated by taking  $\ln RR$  to be  $(O-E)/V$  with Normal variance  $1/V$ . Subtotals or totals of (O-E) and of V yield inverse-variance-weighted averages of the  $\ln RR$  values.

† For balance, controls in the 2:1 study by Simonovich count twice in the control totals and subtotals.