1	THE RELATIONSHIP BETWEEN GRAM-NEGATIVE COLONISATION AND BLOODSTREAM
2	INFECTIONS IN NEONATES: A SYSTEMATIC REVIEW AND META-ANALYSIS
3	Laura Folgori <sup>1*</sup> , Chiara Tersigni <sup>1,2*</sup> , Yingfen Hsia <sup>1</sup> , Christina Kortsalioudaki <sup>1</sup> , Paul Heath <sup>1</sup> , Mike
4	Sharland <sup>1</sup> , Julia Bielicki <sup>1,3</sup>
5	<sup>1</sup> Paediatric Infectious Disease Research Group, Institute for Infection and Immunity, St George's University of London,
6	London, UK
7	<sup>2</sup> Department of Health Sciences, University of Florence, Anna Meyer Children's University Hospital, Florence, Italy
8	<sup>3</sup> Paediatric Pharmacology, University Children's Hospital Basel, Basel, Switzerland
9	* These authors contributed equally to this manuscript
10	
11	Intended category: Systematic Review
12	Corresponding author: Laura Folgori
13	Mailing address: St George's University of London, Jenner Wing, Level 2, Room 2.215E, Cranmer
14	Terrace, London, SW17 ORE, United Kingdom
15	E-mail address: lfolgori@sgul.ac.uk
16	Telephone number: +44 20 87254851
17	
18	Running title: Gram-negative bloodstream infections in colonised babies
19	Keywords: infant, newborn; Gram-Negative Bacteria; carrier state; bacteraemia; neonatal screening
20	Abstract: 321 words
21	Manuscript: 3,327 words

#### 22 ABSTRACT

Objectives: Neonates admitted to Neonatal Intensive Care Units (NICU) are at significant risk of developing bloodstream infections (BSIs). Gram-negative bacteria (GNB) both colonise and infect, but the association between these entities is unclear. By conducting a systematic literature review, we aimed to explore the impact of factors on the association between GN colonisation and GN-BSI at both baby level and unit level.

Methods: We searched Medline, Embase, and Cochrane Library. Observational cohort studies published after 2000 up to June 2016 reporting data on the total number of neonates (0-28 days) colonised with GNB assessed by rectal/skin swab culture and the total number of neonates with GN-BSI (same bacteria) were included. Studies were excluded if data on skin/rectal colonisation, neonates, and GNB could not been identified separately. The meta-analyses along with multivariate metaregression with random-effect model were performed to investigate factors associated with the GN colonisation and GN-BSI at baby-level and unit-level.

35 Results: 27 studies fulfilled our inclusion criteria, 15 for the baby-level and 12 for the unit-level analysis. Study heterogeneity was high, with suboptimal overall quality of reporting assessed by the 36 37 STROBE-NI statement (44.8% of items adequately reported). In 1,984 colonised neonates, 157 (7.9%) 38 developed GN-BSI compared with 85 of 3,583 (2.4%) non-colonised neonates. Considerable 39 heterogeneity across studies was observed. Four factors were included in the meta-regression model: 40 Gross domestic product (GDP), pathogen, outbreak, and frequency of screening. There was no 41 statistically significant impact of these factors on GN colonisation and GN-BSI in baby level. We were 42 unable to perform the multivariate meta-regression due to the insufficient reported data for unit level.

43 Conclusions: Study limitations include the small number and the high heterogeneity of the included
 44 studies. While this report shows a correlation between colonisation and BSI risk, this data currently
 45 doesn't support routinely screening for GNB. The analysis of large cohorts of colonised neonates with

- 46 clinical outcomes is still needed to define the major determinants leading from colonisation to
- 47 infection.

#### 48 INTRODUCTION

Babies admitted to Neonatal Intensive Care Unit (NICU) are at high risk of developing bloodstream infections (BSIs) and have been identified as a critical population for the acquisition and transmission of multidrug-resistant (MDR) pathogens.[1] Among them, Gram-negative bacteria (GNB) are of highest concern in the neonatal population, with a global increase in the incidence rate and very limited therapeutic options.[2] MDR-GNB have been found to be responsible for an increasing number of NICU outbreaks, with many implications for infection control policies and practices, and mortality rates reported around 30%.[3]

56 GNB can cause both colonisation and infections. In a colonised patient, the organism is found on the 57 body but is not causing any symptoms or disease. At birth, healthy neonates have no endogenous 58 microflora which is rapidly acquired through perinatal transfer of maternal vaginal and gastrointestinal 59 flora (vertical transmission) and from environmental or human sources (horizontal transmission).[4] 60 However, sick neonates who require prolonged hospitalisation are at high risk of colonisation with 61 resistant or difficult-to-treat bacteria as a result of intense and long-term exposure to antibiotics and 62 the hospital environment.[5, 6] Some studies have shown a positive association between gut 63 overgrowth and neonatal sepsis.[7, 8] Studies conducted during hospital outbreaks are broadly 64 consistent in showing a relationship between the microorganisms causing colonisation and those 65 isolated from the blood cultures of septic neonates admitted to the same unit.[9] However, the mechanisms leading from colonisation to infection are still debated. 66

57 Screening for colonisation is usually discussed in the context of intensive care to prevent cross-58 infections and inform strategies, such as patient cohorting.[10] However, role of active surveillance 59 for GNB in informing antimicrobial empirical treatment has not yet been fully explored and evaluated 50 in neonates. Clarifying the link between GNB colonisation and infection might have a significant impact 51 on the clinical management for hospitalised babies. If a link is demonstrated, carriage screening could 52 potentially be used to stratify patients to different antibiotic regimens and, at the same time, to select

baseline treatment options at unit-level and potentially conserve broad spectrum antibiotics. By
conducting a systematic literature review, we aimed to explore the impact of factors on the
association between GN colonisation and GN-BSI at both baby level and unit level.

76

### 77 METHODS

A review protocol is available upon request. Studies were considered eligible for inclusion if reporting data on neonates aged 0-28 days (Population), rectal swab/stool culture or skin swab culture to assess GN colonisation (Intervention), comparing the prevalence of GN-BSI among colonised and noncolonised neonates (Comparison), considering GN-BSI as clinical outcome (Outcome), in neonates admitted to NICU (Setting). The search was limited to studies published after 2000. Given the advances in modern neonatology, the aim was to capture publications that reflect policies and practices over the last 15 years. No language restriction was applied.

Medline (Ovid MEDLINE(R) without Revisions 1996 to June Week 2 2016), Embase (Embase 1996 to 2016 Week 24), and Cochrane Library (Issue 6 of 12, June 2016) databases were systematically searched on June 15, 2016 with a strategy combining MeSH and free text terms for "neonate" AND "colonisation" AND "bloodstream infection". The full strategy is available as Supplementary Material.

89 Two assessments for included studies were performed. In the first one (baby-level) inclusion criteria for studies were their reporting of: 1) data on neonates aged 0-28 days, 2) the total number of babies 90 91 colonised with GNs assessed by rectal swab/stool culture or skin swab culture, and 3) the total number 92 of GN-colonised babies who developed a concordant (caused by the same pathogen) GN-BSI. In the 93 second assessment (unit-level), inclusion criteria were studies reporting: 1) data on neonates aged 0-94 28 days, 2) the total number of babies colonised with GNs assessed by rectal swab/stool culture or 95 skin swab culture during the study period, and 3) the total number of babies with GN-BSI in the same 96 unit during the same timeframe were considered eligible for inclusion. Studies were excluded if

97 reporting data on multiple colonisation sites but rectal and/or skin colonisation data could not be 98 identified; studies also including children and/or adults where neonatal data could not be clearly 99 extracted; and studies reporting data on both Gram positives and GNs if GN data could not be 100 identified separately.

101 The primary outcome was to investigate the variables with an impact on the association between GN102 colonisation and GN-BSI at both baby-level and unit-level.

Data on study characteristics, demographic and clinical features of included neonates, inclusion and exclusion criteria, outcome definitions, microbiological methods, and total numbers of colonised/infected babies was independently extracted by two different authors (LF and CT), according to pre-specified criteria. In case of disagreements, these were resolved in discussion with a third author (JB).

108 This study did not receive any direct funding.

#### 109 Quality assessment

To assess the quality of the included studies, the Newcastle-Ottawa scale was used (Table S1).[11] Moreover, to assess the quality of reporting of the included studies, the recently published *Strengthening the Reporting of Observational Studies in Epidemiology for Newborn Infection* (STROBE-NI) statement was used.[12] This checklist is an extension of the STROBE statement aiming to improve scientific reporting of neonatal infection studies, with the ultimate goal to increase data utility and allow meta-analytical approaches. The proportion of STROBE-NI items adequately reported was calculated for each study. This review complies with the PRISMA guideline.[13]

## 117 Statistical analysis

118 The proportion of concordant GN-BSI in colonised babies was calculated as number of 119 infections/colonised babies. Colonisation pressure was calculated as number of colonised babies/total

NICU admissions in the study period. The proportions of colonisation and infections were calculated using the crude data collected as the number of colonised or infected babies/total number of neonates admitted during the study period. The two-tailed Mann-Whitney U test for two independent samples was used to compare the STROBE-NI score between studies primarily designed for clinical and those mainly for microbiological purpose. A p-value of less than 0.05 was considered statistically significant.

125 We performed a sub-group meta-analysis along with multivariate meta-regression.[14, 15] Study 126 characteristics extracted for sub-group and meta-regression were: 1) gross domestic product (GDP) 127 (upper-middle-income countries (UMIC), lower-middle-income countries (LMIC), high-income 128 countries (HIC)); 2) pathogen (Klebsiella spp. vs other Gram-negative pathogens); 3) screening timing 129 (once vs twice a week); 4) outbreak (study carried out during outbreak vs not during outbreak). We 130 carried out baby-level and unit-level meta-analyses separately. For baby-level, the meta-analysis was 131 conducted to produce estimated risk ratio (RR) as the measure of group difference (colonisation vs 132 non-colonisation) on the rate of infection. Due to the insufficient data reported for unit-level, we used 133 the Freeman-Tukey double arcsine transformation (arcsine square root transformation [16]) to 134 calculate the weighted proportion of overall infection rate. We performed the DerSimonian and Laird 135 random-model effect using inverse variance weight method, which takes into account the within study 136 variation and between study heterogeneity. The  $l^2$  statistic was used to describe the variation across 137 studies due to heterogeneity. We defined the level of heterogeneity as low, moderate, and high 138 correspond to I<sup>2</sup> values of 25%, 50%, and 75%.[14] As the small number of included studies, we were 139 unable to carry out publication bias in this present study.[14] The meta-analysis and meta-regression 140 were carried out using STATA version 14.0 (StataCorp).

141

## 142 **RESULTS**

#### 143 Study selection and description

The search identified 8,543 studies. Among them, 25 papers and 2 conference abstracts fulfilled our 144 145 inclusion criteria and were included in the final analysis. 5,254 studies were excluded based on the 146 title, 1,338 were rejected on abstract, and 211 were rejected on full text (Figure 1). 15 studies were 147 selected for the baby-level[4, 6, 8, 17-28] and 12 for the unit-level analysis.[9, 29-39] 18 out of 27 148 studies were carried out in high-income countries (HIC), [4, 6, 8, 18, 20, 22-24, 26-28, 30-32, 34-37] 5 149 in upper middle-income countries (UMIC), [17, 19, 21, 25, 29] and 2 in lower middle-income countries 150 (LMIC)[9, 33], according to the 2016 World Bank Classification (Table 1S).[40] 20 were carried out as 151 prospective[4, 6, 8, 9, 18, 20-22, 25-33, 35, 36, 38] and 5 as retrospective studies.[17, 19, 23, 34, 37] 152 Two papers did not provide their study design.[24, 39] 8 studies were carried out during hospital 153 outbreaks.[21, 24, 28-31, 37, 38]

Apart from one study,[23] all papers assessed colonisation through rectal swab or stool culture (**Table 2S**). 24 (88.9%) out of 27 studies provided information about timing and frequency of microbiological screening.[4, 6, 8, 9, 17-36] In nearly half of the studies, rectal/skin swabs were performed weekly through the baby's NICU stay[4, 6, 17, 19, 20, 24-30, 32, 33] whereas in 6 studies neonates were screened twice a week.[8, 21, 22, 31, 35, 36]

To evaluate the concordance between colonising and bloodstream isolates, 15 (55.6%) out of 27 studies performed genotyping analyses.[4, 9, 20-22, 24, 25, 28-32, 35, 37, 39] Twelve studies genotyped the isolates by pulsed field gel electrophoresis (PFGE)[4, 9, 20, 25, 28-32, 35, 37, 39] whereas 3 studies performed Polymerase Chain Reaction (PCR).[21, 22, 24] Only one study assessed the genotype by sequencing the pathogens.[39]

164 Only one study assessed the cost-effectiveness of the intervention.[30]

165 Quality assessment of included studies

166 A huge variation was highlighted in terms of study design (prospective vs retrospective, inclusion 167 criteria, different outcomes assessed), included population (gestational age, birth weight, sample 168 size), and investigated pathogens (different strains, different resistance pattern). Overall, according to 169 the STROBE-NI checklist, [12] the included studies reported adequately a mean of 44.8% (range 8.6-170 67%) of the suggested items. A statistically significant difference was highlighted in terms of 171 compliance with the checklist between studies primarily designed for clinical and those mainly for 172 microbiological purposes (47.2% vs 32.4%, p=0.034). As summary considerations on study quality in 173 general, according to the Newcastle-Ottawa scale, all studies assessed the exposure and the outcome 174 by using secure records, and all of them selected the non-exposed cohort from the same community 175 as the exposed cohort. However, very few studies demonstrated that the outcome of interest was not 176 present at the start of the study and none of them reported a statement about proportion of patients 177 who completed the follow-up (Table 1S).

#### 178 Baby-level analysis

15 studies were included in the baby-level analysis, [4, 6, 8, 17-28] 3 (20.0%; 3/15) of which were
carried out during NICU outbreaks. [21, 24, 28] 7 (46.7%; 7/15) studies provided information about
demographic characteristics of the included cohort (e.g. age at screening, birth weight or gestational
age) (Table 3S). [4, 6, 8, 19, 22, 25, 26] The length of follow-up was reported in 6 studies. [6, 22, 24-26,
28] Five studies reported the interval between colonization and onset of concordant BSI. [8, 13, 16, 2122]

Overall, a total of 8,421 neonates were screened for rectal and/or skin colonisation. Among them, 1,984 (23.6%) were found to be colonised by GNB. In total, 157 colonised babies experienced a BSI concordant with the colonising pathogen (7.9%). A broad variation was found among the included studies in terms of prevalence of concordant GN-BSIs in colonised babies (range 0.0 - 42.8%). In those studies that also reported the number of non-colonized babies who developed a GN-BSI, the proportion of neonates who experienced a GN-BSI was 2.4% (85/3,583). 191 Only one study reported the relatedness between the genotype of colonising and invasive pairs of 192 isolates.[20] In this study, 17 out of 19 strains (89.0%) had an indistinguishable PFGE pattern.

## 193 <u>Meta-analysis</u>

194 All sub-group meta-analyses results are shown in Figure 2. The random-effects inverse variance meta-195 analysis for all sub-groups demonstrated strong evidence of heterogeneity within sub-groups, and 196 heterogeneity between sub-groups. The overall estimated RRs in within sub-groups analyses did not 197 show any differences for GDP, pathogen, and outbreak. However, when conducting separate meta-198 analysis for screening frequency, RR of GN-BSI in babies screened twice/week compared with once a 199 week was 1.24 (95Cl: 1.12-1.37) in the non-colonisation group and 0.95 (95%Cl: 0.94-0.97) in the 200 colonisation group. I-squared  $(I^2)$  estimates of 75.5% (screening twice) and 64.2% (screening once) 201 showed a different heterogeneity to the overall meta-analysis. To further explore heterogeneity 202 between studies, we performed multivariate meta-regression analysis (Table 1). All included variables 203 in the meta-regression analysis did not show statistically significant impact on GN colonisation and 204 GN-BSI in the baby-level.

#### 205 Unit-level analysis

12 studies were included for the analysis at the unit-level, [9, 29-39] 5 (41.6%) of which were carried
out during outbreaks in the neonatal units. [29-31, 37, 38]

A total of 6,363 babies were included. Among them, 1,825 neonates (28.7%) had a rectal/skin swab positive for GNB (**Table 2**). The colonisation pressure varied widely among the selected studies, ranging from 1.0%[34] to 81.8%.[9] Overall, the prevalence of GN-BSIs among neonates admitted to the NICUs during the same timeframe was 8.1% (516 BSI episodes/6,363 admitted babies). The rate of BSIs among the different studies ranged from 0.0 to 19.8%. 213 In those studies evaluating the molecular epidemiology among colonising and invasive strains, PFGE

analysis proved to be a very useful tool to investigate the spread and clonality of isolated pathogens,

especially in the context of NICU outbreaks.[9, 29-32, 35, 37, 39]

216 <u>Meta-analysis</u>

The sub-group meta-analyses results for unit-level are shown in **Figure 1S**. Results for all within subgroup analyses have shown considerable high heterogeneity. This may be due to the insufficient reported data in the included studies. In addition, we were unable to perform the multivariable metaregression model from the available unit-level data.

221

## 222 DISCUSSION

223 This systematic review included 27 studies, 15 were included in the baby-level and 12 in the unit-level 224 analysis. The quality of reporting assessed by the STROBE-NI statement's checklist was suboptimal in 225 the great majority of the published studies, with a significant difference between those primarily 226 targeting clinical research questions and those focusing on microbiological research questions. Eight 227 studies were carried out during NICU outbreaks. A total of 14,784 babies were screened for gut or skin 228 colonisation. Among babies that were colonised, 7.9% developed a concordant BSI. The overall 229 estimated RRs within sub-groups were similar for GDP, pathogen, and outbreak. In addition, the 230 within-group  $l^2$  estimates for these factors were similar. However, the RRs of GN-BSI comparing twice 231 weekly with weekly screening were 1.24 in the non-colonisation group and 0.95 in the colonisation 232 group with different  $l^2$  estimates. To explore this further, meta-regression analyses were carried out. 233 None of these factors were statistically significant associated with GN colonisation and GN-BSI at the 234 baby-level. Only one study analysed the genotypic relatedness of colonising and invasive pairs of 235 isolates. Due to the insufficient reported data for unit-level, we were not able to further explore the association of these factors and the outcome of interest in present study. 236

Many studies over the last decade have tried to assess the association between gastrointestinal (GI) bacterial flora and the onset of invasive infection in neonates. Direct translocation of bacteria from the GI tract to the bloodstream through immature or damaged bowel wall (such as in case of necrotizing enterocolitis) and indirect transfer via other pathways due to immaturity of defence mechanisms are some of the hypotheses that have been suggested.[7] Many factors associated with the NICU stay, both environment- and patient-related, have been shown to influence the status of the neonatal microbiome, therefore predisposing high-risk babies to nosocomial infections.[5]

Treatment with broad-spectrum antibiotics, frequently experienced by hospitalised neonates,[41] leads to gut colonisation with multidrug-resistant Gram-negative bacteria (MDRGN) by selecting resistant flora.[42] The GI tract provides an important reservoir for antibiotic-resistant GNB that can then persist throughout the NICU stay and can be easily transmitted between patients.[43]

The individual-level association between colonisation and BSI we observed may actually explain their ecological association at unit-level. For the unit-level analysis, we were unable to determine whether colonisation preceded infection in affected babies. However, there may be an additional impact of cross-infections with rapid transition from colonisation to invasive infection in the face of high colonisation pressure. Recently, colonisation pressure has been identified as an independent risk factor for ICU-acquired MDR-infections in adults.[44]

254 Conversely, the role of carriage screening to adjust empirical regimens in colonised patients in the 255 non-epidemic setting has not been properly explored yet. Screening may have a particularly important 256 role in NICUs, to closely monitor high-risk neonates, to inform empirical treatment when resistance 257 patterns are identified, and to set up preventive interventions, such as decolonisation and 258 decontamination, to reduce the risk of invasive infections. [45] Such potential interventions have to be 259 interpreted in the light of a recent review of the interventions to control neonatal healthcare-260 associated infection outbreaks, which showed that enhanced swab-based surveillance did not prove 261 to be effective at reducing case-fatality or outbreak duration.[46]

Our review showed the different RRs associated with the frequency of screening (once *vs* twice a week) in the infection rate of subsequent BSI in non-colonised and colonized babies. Despite the multivariate meta-regression failing to demonstrate a statistically significant finding for this factor, the screening time plays an important role in the clinical practice. A strategy of continuous surveillance of MDRGN colonization has been discussed extensively, both as a basis for preventing cross-infection and to facilitate infection control measures.[47] However, there is no consensus on the optimal timing and frequency of ongoing screening.

The predictive value of rectal MDRGN colonisation for subsequent MDRGN bacteraemia has been assessed in a number of studies in adults, with variable findings. Due to the significant implication of these highly resistant infections on healthcare costs and patients outcomes, the need to develop clinical prediction algorithms to identify patients potentially colonised with such organisms (and therefore candidates for screening) at hospital admission has been broadly recognised.[48]

At the moment, the cost-effectiveness of routine rectal screening cannot be fully elucidated. Frequent delays in laboratory reporting of microbiological results and increased exposure to broad-spectrum antibiotics are some of the potential limits for supporting colonisation-guided versus standard empiric antibiotic treatments. Without clear evidence of a significant impact on patient outcome, the implementation of routine surveillance cultures in those setting where MDRGNs are rare or endemic might not be warranted.

This review has several limitations. Firstly, the association between GNB colonisation and GN-BSI in neonates must be interpreted in the light of the small number of included studies and the high heterogeneity in terms of study design, included population, and investigated pathogens. Due to the low number of studies included in the meta-analysis, we were unable to assess publication bias. Different pathogens have been shown to have different impacts on the risk of developing invasive infections in colonised neonates, and pooling data on multiple strains could have biased the results.[42] Lastly, the quality of data reporting was assessed according to the STROBE-NI statement

checklist. However, this guideline was designed to improve the reporting of observational studies on the epidemiology of neonatal infections, and may not have been entirely suitable for some of the studies included in this review primarily designed for microbiological purpose. However, this is the only specific guidance currently available for the reporting of neonatal infections.

291 The analysis of large prospective cohorts of colonised neonates with their clinical outcomes is highly 292 relevant in order to clarify the risk factors and determinants for invasive infections. This is evident 293 from the observation that although we showed a correlation between colonisation and invasive 294 disease, the majority of colonised babies do not develop systemic invasive infection. Previously 295 published studies did not attempt to link WGS data with clinical outcome nor to ascertain the 296 relatedness between colonising and invasive pathogens. Such information could assist in gaining 297 evidence on pathogenicity determinants and might have a significant impact on the management of 298 neonates with GN-BSIs. If a correlation between gut colonisation and invasive infections is confirmed, 299 easy-to-collect rectal swab data could be used as a proxy, at the patients- or NICU-level, to inform 300 empirical antibiotic treatment in neonates with suspected BSIs. In the LMIC setting, blood cultures are 301 infrequently obtained from neonates, thus readily obtained rectal swabs could be used as a predictor 302 of MDR pattern at unit-level and help identify the optimal antibiotic regimens to be used. In HIC, 303 demonstrating a correlation between colonisation and invasive infections might help define the best 304 strategies for Infection Prevention and Control (e.g. cohorting babies during hospital outbreaks) and 305 to select babies who would benefit most from broad-spectrum antibiotics (for targeted clinical 306 management) and those who can receive more narrow-spectrum antibiotics.

## 307 TRANSPARENCY DECLARATION

308 **Conflict of Interests:** Mike Sharland reports other from Pfizer, GSK, outside the submitted work; and

309 Julia Bielicki declared that her husband is senior corporate counsel at Novartis International AG, Basel,

- 310 Switzerland and owns stock and stock options.
- 311 **Funding:** This study did not receive any direct funding.

Contributors statement: All authors contributed to the conception and design of the study. LF and CT
collected the data. LF, YH, JB, and MS contributed to the analysis of the data. All authors contributed
to the interpretation of the data. LF, CT, and JB wrote the first draft of the manuscript. All authors
revised the manuscript critically for important intellectual content. All authors approved the final
version of the manuscript to be submitted.

#### 317 **REFERENCES**

- Russell AB, Sharland M, and Heath PT. Improving antibiotic prescribing in neonatal units: time
   to act. Arch Dis Child Fetal Neonatal Ed, **2012**. 97(2): p. F141-6.
- 320 2. Le Doare K, Bielicki J, Heath PT, Sharland M. Systematic Review of Antibiotic Resistance Rates
- Among Gram-Negative Bacteria in Children With Sepsis in Resource-Limited Countries. J
   Pediatric Infect Dis Soc, **2015**. 4(1): p. 11-20.
- Stapleton PJ, Murphy M, McCallion N, Brennan M, Cunney R, Drew RJ. Outbreaks of extended
   spectrum beta-lactamase-producing Enterobacteriaceae in neonatal intensive care units: a
   systematic review. Arch Dis Child Fetal Neonatal Ed, **2016**. 101(1): p. F72-8.
- Almuneef MA, Baltimore RS, Farrel PA, Reagan-Cirincione P, Dembry LM. Molecular typing
   demonstrating transmission of gram-negative rods in a neonatal intensive care unit in the
   absence of a recognized epidemic. Clin Infect Dis, **2001**. 32(2): p. 220-7.
- 329 5. Hartz LE, Bradshaw W, Brandon DH. Potential NICU Environmental Influences on the
  330 Neonate's Microbiome: A Systematic Review. Adv Neonatal Care, **2015**. 15(5): p. 324-35.
- Singh N, Patel KM, Léger MM, et al. Risk of resistant infections with Enterobacteriaceae in
   hospitalized neonates. Pediatr Infect Dis J, **2002**. 21(11): p. 1029-33.
- 333 7. Basu S. Neonatal sepsis: the gut connection. Eur J Clin Microbiol Infect Dis, **2015**. 34(2): p. 215334 22.
- Parm Ü, Metsvaht T, Sepp E, et al. Mucosal surveillance cultures in predicting Gram-negative
   late-onset sepsis in neonatal intensive care units. J Hosp Infect, **2011**. 78(4): p. 327-32.
- Das P, Singh AK, Pal T, Dasgupta S, Ramamurthy T, Basu S. Colonization of the gut with Gram negative bacilli, its association with neonatal sepsis and its clinical relevance in a developing
- 339 country. J Med Microbiol, **2011**. 60(Pt 11): p. 1651-60.
- McGinigle KL, Gourlay ML, Buchanan IB. The use of active surveillance cultures in adult
   intensive care units to reduce methicillin-resistant Staphylococcus aureus-related morbidity,
   mortality, and costs: a systematic review. Clin Infect Dis, **2008**. 46(11): p. 1717-25.

- Wells GA, Shea B, O'Connell D, Peterson J, Welch V, Losos M, Tugwell P. The Newcastle-Ottawa
   Scale (NOS) for assessing the quality of nonrandomised studies in meta-analyses. Available
- 345 from: <u>http://www.ohri.ca/programs/clinical\_epidemiology/oxford.asp</u>. (2005) Accessed 31
- 346 May 2017
- Fitchett EJ, Seale AC, Vergnano S, et al. Strengthening the Reporting of Observational Studies
  in Epidemiology for Newborn Infection (STROBE-NI): an extension of the STROBE statement
  for neonatal infection research. Lancet Infect Dis, **2016**. 16(10): p. e202-13.
- Liberati A, Altman DG, Tetzlaff J, et al. The PRISMA statement for reporting systematic reviews
  and meta-analyses of studies that evaluate health care interventions: explanation and
  elaboration. J Clin Epidemiol, 2009; 62: e1-34.
- 14. Higgins JPT, Green S. Cochrane Handbook for Systematic Reviews of Interventions Version
- 354 5.1.0 The Cochrane Collaboration, 2011. Available from: <u>www.cochrane-handbook.org</u>.
  355 (2011) Accessed 22 July 2017
- Song F, Sheldon TA, Sutton AJ, Abrams KR, Jones DR. Methods for exploring heterogeneity in
   meta-analysis. Eval Health Prof, **2001**; 24(2): 126-51.
- 358 16. Freeman MF, Tukey JW. Transformation related to the angular and the square root. Ann Math
  359 Statist, **1950**; 21: 607-11.
- Akturk H, Sutcu M2, Somer A, et al. Carbapenem-resistant Klebsiella pneumoniae colonization
   in pediatric and neonatal intensive care units: Risk factors for progression to infection. Braz J
- 362 Infect Dis, **2016**. 20(2): p. 134-140.
- Biran V, Gaudin A, Mariani-Kurdjian P, Doit C, Bingen E, Aujard Y. [Implication of extendedspectrum beta-lactamase enterobacteriaceae in nosocomial infections in neonates]. Arch
  Pediatr, **2010**. 17 Suppl 4: p. S150-3.
- Boo NY, Ng SF, Lim VK. A case-control study of risk factors associated with rectal colonization
   of extended-spectrum beta-lactamase producing Klebsiella sp. in newborn infants. J Hosp
   Infect, 2005. 61(1): p. 68-74.

- 369 20. Graham PL 3rd, Della-Latta P, Wu F, Zhou J, Saiman L. The gastrointestinal tract serves as the
  370 reservoir for Gram-negative pathogens in very low birth weight infants. Pediatr Infect Dis J,
  371 2007. 26(12): p. 1153-1156.
- 372 21. Gundes S, Arisoy AE, Kolayli F, et al. An outbreak of SHV-5 producing Klebsiella pneumoniae
  373 in a neonatal intensive care unit; meropenem failed to avoid fecal colonization. New
  374 Microbiol, 2005. 28(3): p. 231-6.
- 375 22. Mammina C, Di Carlo P, Cipolla D, et al. Nosocomial colonization due to imipenem-resistant
  376 Pseudomonas aeruginosa epidemiologically linked to breast milk feeding in a neonatal
  377 intensive care unit. Acta Pharmacol Sin, **2008**. 29(12): p. 1486-92.
- Mustapa, M, Egyepong J, Abdul-Rahman AK. Predictive value of admission surface swabs in
  early-onset neonatal sepsis in extremely low birth weight (ELBW) infants in a neonatal
  intensive care unit (NICU). [Abstract presented at the 5th Congress of the European Academy
  of Paediatric Societies, EAPS 2014 Barcelona Spain]. Arch Dis Child, **2014**. 99: p. A432-A433.
- Oteo J, Cercenado E, Vindel A, et al. Outbreak of multidrug-resistant CTX-M-15-producing
  Enterobacter cloacae in a neonatal intensive care unit. J Med Microbiol, **2013**. 62(PART4): p.
  571-575.
- Pessoa-Silva CL, Meurer Moreira B, Câmara Almeida V, et al. Extended-spectrum betalactamase-producing Klebsiella pneumoniae in a neonatal intensive care unit: risk factors for
  infection and colonization. J Hosp Infect, **2003**. 53(3): p. 198-206.
- Smith A, Saiman L, Zhou J, Della-Latta P, Jia H, Graham PL 3rd. Concordance of Gastrointestinal
   Tract Colonization and Subsequent Bloodstream Infections With Gram-negative Bacilli in Very
   Low Birth Weight Infants in the Neonatal Intensive Care Unit. Pediatr Infect Dis J, 2010. 29(9):
   p. 831-5.
- Suviste J, Gray J, Morgan I, Patel M. Rectal swabs: An increasingly important component of
   nicu infection surveillance programmes? [Abstract presented at the 4th Congress of the
   European Academy of Paediatric Societies Istanbul Turkey]. Arch Dis Child, **2012**. 97: p. A334.

- Velasco C, Rodríguez-Baño J, García L, et al. Eradication of an extensive outbreak in a neonatal
  unit caused by two sequential Klebsiella pneumoniae clones harbouring related plasmids
  encoding an extended-spectrum beta-lactamase. J Hosp Infect, 2009. 73(2): p. 157-163.
- 29. Cassettari VC, da Silveira IR, Dropa M, et al. Risk factors for colonisation of newborn infants
   during an outbreak of extended-spectrum beta-lactamase-producing Klebsiella pneumoniae

400 in an intermediate-risk neonatal unit. J Hosp Infect, **2009**. 71(4): p. 340-7.

- Gbaguidi-Haore H, Talon D, Thouverez M, Menget A, Bertrand X. Molecular epidemiology of
  Enterobacter cloacae in a neonatal department: a 2-year surveillance study. Eur J Clin
  Microbiol Infect Dis, **2008**. 27(8): p. 643-8.
- Gupta A, Della-Latta P, Todd B, et al. Outbreak of extended-spectrum beta-lactamaseproducing Klebsiella pneumoniae in a neonatal intensive care unit linked to artificial nails.
  Infect Control Hosp Epidemiol, **2004**. 25(3): p. 210-5.
- 407 32. Haase R, Worlitzsch D, Schmidt F, Kulka R, Kekulé AS, Körholz D. Colonization and infection
  408 due to multi-resistant bacteria in neonates: a single center analysis. Klin Padiatr, **2014**. 226(1):
- 409 p. 8-12.
- Litzow JM, Gill CJ, Mantaring JB, et al. High frequency of multidrug-resistant gram-negative
  rods in 2 neonatal intensive care units in the Philippines. Infect Control Hosp Epidemiol, 2009.
  30(6): p. 543-9.
- 413 34. Macnow T, O'Toole D, DeLaMora P, et al. Utility of surveillance cultures for antimicrobial
  414 resistant organisms in infants transferred to the neonatal intensive care unit. Pediatr Infect
  415 Dis J, **2013**. 32(12): p. e443-50.
- 416 35. Mammina C, Di Carlo P, Cipolla D, et al. Surveillance of multidrug-resistant gram-negative
  417 bacilli in a neonatal intensive care unit: prominent role of cross transmission. Am J Infect
  418 Control, 2007. 35(4): p. 222-30.

- 419 36. Parm U, Metsvaht T, Sepp E, et al. Risk factors associated with gut and nasopharyngeal
  420 colonization by common Gram-negative species and yeasts in neonatal intensive care units
  421 patients. Early Hum Dev, 2011. 87(6): p. 391-9.
- 422 37. Rettedal S, Høyland Löhr I, Natås O, Sundsfjord A, Øymar K. Risk factors for acquisition of CTX-
- 423 M-15 extended-spectrum beta-lactamase-producing Klebsiella pneumoniae during an 424 outbreak in a neonatal intensive care unit in Norway. Scand J Infect Dis, **2013**. 45(1): p. 54-8.
- Richards C, Alonso-Echanove J, Caicedo Y, Jarvis WR. Klebsiella pneumoniae bloodstream
  infections among neonates in a high-risk nursery in Cali, Colombia. Infect Control Hosp
  Epidemiol, 2004. 25(3): p. 221-5.
- 39. Roy S, Viswanathan R, Singh A, Das P, Basu S. Gut colonization by multidrug-resistant and
  carbapenem-resistant Acinetobacter baumannii in neonates. Eur J Clin Microbiol Infect Dis,
  2010. 29(12): p. 1495-1500.
- 431 40. The World Bank list of economies. Available from:
  432 <u>http://siteresources.worldbank.org/DATASTATISTICS/Resources/CLASS.XLS</u> (2016). Accessed
  433 5 January 2017.
- 434 41. Versporten A, Bielicki J, Drapier N, Sharland M, Goossens H; ARPEC project group. The
  435 Worldwide Antibiotic Resistance and Prescribing in European Children (ARPEC) point
  436 prevalence survey: developing hospital-quality indicators of antibiotic prescribing for children.
- 437 J Antimicrob Chemother, **2016**. 71(4): p. 1106-17.
- 438 42. Simon A, Tenenbaum T. Surveillance of multidrug-resistant Gram-negative pathogens in high439 risk neonates--does it make a difference? Pediatr Infect Dis J, **2013**. 32(4): p. 407-9.
- 440 43. Collado MC, Cernada M, Neu J, Pérez-Martínez G, Gormaz M, Vento M. Factors influencing
- 441 gastrointestinal tract and microbiota immune interaction in preterm infants. Pediatr Res,
- 442 **2015**. 77(6): p. 726-31.

- 443 44. Masse J, Elkalioubie A, Blazejewski C, et al. Colonization pressure as a risk factor of ICU444 acquired multidrug resistant bacteria: a prospective observational study. Eur J Clin Microbiol
  445 Infect Dis, **2016**. Dec 20. doi: 10.1007/s10096-016-2863-x.
- 446 45. Vergnano S. Decolonization and decontamination: what's their role in infection control? Curr
  447 Opin Infect Dis, **2015**. 28(3): p. 207-14.
- 448 46. Birt J, Le Doare K, Kortsalioudaki C, Lawn J, Heath PT, Sharland M. Lack of evidence for the
  449 efficacy of enhanced surveillance compared to other specific interventions to control neonatal
  450 healthcare-associated infection outbreaks. Trans R Soc Trop Med Hyg, **2016**. 110(2): p. 98451 106.
- 452 47. Tacconelli E, Cataldo MA, Dancer SJ, et al. ESCMID guidelines for the management of the
  453 infection control measures to reduce transmission of multidrug-resistant Gram-negative
  454 bacteria in hospitalized patients. Clin Microbiol Infect, **2014**. 20 Suppl 1: p. 1-55.
- 455 48. Tumbarello M, Trecarichi EM, Bassetti M, et al. Identifying patients harboring extended-456 spectrum-beta-lactamase-producing Enterobacteriaceae on hospital admission: derivation
- 457 and validation of a scoring system. Antimicrob Agents Chemother, **2011**. 55(7): p. 3485-90.

# Table 1: Meta-regression to determine the factors that account for the heterogeneity between studies in the baby-level

Variable	Coefficient	p-value	95%Cl lower	95%Cl upper
Screening timing	0.197	0.594	-3.193	3.589
GDP <sup>a</sup> classification	-0.273	0.417	-2.939	2.392
During outbreak (Y/N)	0.275	0.412	-2.370	2.921
Pathogen	-0.266	0.422	-2.910	2.378

<sup>a</sup>GDP: Gross domestic product

Author, year	Population (n of	N of colonised babies	Colonisation pressure (%)	N of infected babies	BSI rate (%)
	screened babies)			(in the same period)	
Cassettari VC, 2009 [29]	120	27	22.5	7	5.8
Das P, 2011 [9]	242	198	81.8	32	13.2
Gbaguidi-Haore H, 2008 [30]	735	166	22.6	29	3.9
Gupta A, 2004 [31]	73	14	19.2	6	8.2
Haase R, 2014 [32]	635	27	4.3	4	0.6
Litzow JM, 2009 [33]	1,831	1,017	55.5	358	19.6
Macnow T, 2013 [34]	1,475	15	1.0	8	0.5
Mammina C, 2007 [35]	210	116	55.2	25	11.9
Parm U, 2011 [36]	276	154	55.8	27	9.8
Rettedal S, 2013 [37]	469	58	12.4	1	0.2
Richards C, 2004 [38]	69	8	11.6	0	0.0
Roy S, 2010 [39]	228	25	11.0	19	8.3

# Table 2: Colonisation pressure and rate of Bloodstream Infections in studies included in the unit-level analysis

<sup>a</sup>BSI: Bloodstream infection

# Figure 1



# Figure 2



# **Figure legends**

Figure 1: Flowchart and study selection

Figure 2: Random effects meta-analysis for estimated risk ratio at the baby-level by groups (Abbreviations: CI, confident interval; RR, risk ratio; HIC, high income country; UMIC, upper middle income country)

Figure 1S: Random effect meta-analysis for infection rate at the unit-level by groups