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- The whole blood phagocytosis assay: 2
- a clinically relevant test of neutrophil function 3
- and dysfunction in community-acquired
- pneumonia 5
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#### Abstract 7

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- **Objective:** To refine and validate a neutrophil function assay with clinical relevance for patients with community-8 acquired pneumonia (CAP). 9
- Design: Two phase cross-sectional study to standardise and refine the assay in blood from healthy volunteers and 10 test neutrophil phagocytic function in hospital patients with CAP. 11
- Participants: Phase one: Healthy adult volunteers (n = 30). Phase two: Critical care patients with severe CAP (n = 16), 12 ward-level patients with moderate CAP (n = 15) and respiratory outpatients (no acute disease, n = 15). 13
- Results: Our full standard operating procedure for the assay is provided. Patients with severe CAP had significantly 14 decreased neutrophil function compared to moderate severity disease (median phagocytic index 2.8 vs. 18.0, 15 p = 0.014). Moderate severity pneumonia neutrophil function was significantly higher than control samples (median 16 18.0 vs. 1.6, p = 0.015). There was no significant difference between critical care and control neutrophil function 17 (median 2.8 vs. 1.6, p = 0.752). 18
- Conclusions: Our whole blood neutrophil assay is simple, reproducible and clinically relevant. Changes in neutrophil 19 function measured in this pneumonia cohort is in agreement with previous studies. The assay has potential to be 20 used to identify individuals for clinical trials of immunomodulatory therapies, to risk-stratify patients with pneumonia, 21 and to refine our understanding of 'normal' neutrophil function in infection. 22
- Keywords: Neutrophils, Sepsis, Flow cytometry, Phagocytosis, Pneumonia 23

#### Introduction 24

Community-acquired pneumonia (CAP) is a major cause 25 of morbidity and mortality. Disease results from both the 26 27 bacterial infection, and the ensuing inflammatory host response, which, during early infection, is dominated by 28 neutrophils. Neutrophil dysfunction is well recognised 29

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in patients with CAP and sepsis [1, 2]. Currently, there are no clinically validated laboratory tests of neutrophil function; this limits the development and testing of potential immunomodulatory therapies [3]. Personalised approaches to immunomodulatory drug administration could enhance positive outcomes and reduce the risk of potentially harmful adverse-effects [2]. We aimed to refine and validate a flow-cytometric whole blood assay of neutrophil phagocytic function using intraphagosomal reporter beads [4, 5]. Potential advantages of this assay are direct measurement of relevant biological activity,



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Journal : BMCTwo 13104	Dispatch : 26-3-2020	Pages : 5	
Article No : 5034	□ LE	□ TYPESET	
MS Code :	☑ CP	🗹 DISK	

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minimal sample processing and the potential to become 41 a 'near-patient' test with sample to result time of less than 42 4 h. 43

#### Main text 44

#### Methods 45

We recruited healthy volunteers and hospital patients in 46 a two-phase study. The North West-Haydock Research 47 Ethics Service (UK) approved this study (15/NW/0869). 48 In phase one, we refined our standard operating proce-49 dure (SOP) using blood from healthy adult (>18 years 50 old) volunteers. In phase two, we recruited adult patients 51 within 48 h of diagnosis of severe and moderate CAP 52 (n=16; defined by NICE guidelines, CG191: 2014 [6]53 who were admitted to critical and ward level care respec-54 tively (n=15). A control group of outpatients with 55 chronic stable respiratory disease (no acute inflammatory 56 disease, n = 15) were recruited for comparative purposes 57 (July 2016-April 2017). Hospital patients were recruited 58 from Aintree University Hospital and Royal Liverpool 59 University Hospital, Liverpool, United Kingdom. Partici-60 pants were excluded if diagnosed with an immunocom-61 promising condition or therapy (including HIV infection, 62 63 malignancy and long term (>2 weeks) corticosteroid treatment), pregnant, requiring renal replacement ther-64 apy, unable to provide informed consent. 65

Citrated blood samples were transported to the labo-66 ratory and processed within 2 h of venepuncture. Final-67 ised methods for the whole blood phagocytosis assay 68 were refined based on previously published work [4, 5]. 69 Samples were acquired using a BD LSR II flow cytom-70 eter equipped with three lasers (405, 488, and 633 nm; 71 Becton-Dickinson, USA), using compensation matri-72 ces derived from commercial beads (Becton-Dickinson, 73 USA). Data were acquired using FACS Diva software 74 (version 6.1, BD Biosciences, USA) and analysed using 75 FlowJo software (version 10, Tree Star, USA). A sequen-76 tial gating strategy was used to identify the neutrophil 77 according to light scatter and the expression of CD16 78 (Additional file 1: Figure S1). Neutrophil oxidation ratio 79 (OR) was calculated as the mean fluorescence intensity 80 (MFI) of the reporter fluorophore (FITC) divided by the 81 MFI of the calibrator fluorophore (Pacific Blue). To con-82 83 firm the interaction of blood neutrophils and the intraphagosomal reporter beads during the assay, illustrative 84 confocal images and time-lapse video were also provided 85 in Additional file 1: Figure S2, Video S1; Additional file 2. 86

Neutrophil phagocytic index (PI) was calculated as the 87 number of neutrophils associated with reporter beads 88 divided the total neutrophil number multiplied by the 89 OR (Additional file 1: Figure S1). Statistical analysis was 90 performed using Stata 13.1 for Mac (StataCorp LP, 2015); 91 data were tested for normality using the Shapiro-Wilk 92

test and analysed using parametric and non-parametric

## Results

tests, as appropriate.

We analysed whole blood samples from 16 patients with severe CAP admitted to critical care, 15 patients with moderate severity CAP admitted to hospital wards and 15 patients with chronic, non-inflammatory and stable respiratory disease. Patient demographics, illness severity, microbiological status and outcome data were also recorded (Table 1). Median venepuncture to result (completed sample acquisition) time was 305 (IQR 261-328) min, including median 91 (IQR 49–118) min transport time between sampling and arrival in the laboratory. There were 45 min hands on time (i.e. pre-analytical interaction, reagent and sample preparation and loading, in-process interaction, post-analytical interaction and maintenance), per patient (sample batching promoted reductions).

Neutrophil phagocytic index (PI) was significantly higher in unstimulated blood samples taken from ward patients (moderate pneumonia) compared to critical care (severe pneumonia) patients [median 18.0 (IQR = 3.0-48.7) vs. 2.8 (IQR = 2.8-9.3) p=0.014] and outpatients [median 18.0 vs. 1.6 (IQR=0.7-12.0), p = 0.015]. However, there was no significant difference between critical care and outpatients (Fig. 1a; median 2.8 vs. 1.6, p = 0.752). For each group, PI value was significantly increased after neutrophil stimulation with phorbol myristate acetate (PMA) and lipopolysaccharide (LPS) (Fig. 1d-f). However, response to these positive controls was attenuated in critical care compared to ward patients. (Figure 1b, c) suggesting reduced maximal responses in the former group.

## Discussion

We present a refined flow cytometry assay [5], clinically relevant method for measuring neutrophil function in blood taken from patients with CAP ex vivo. Our technique avoids pre-processing of blood, is simple to perform and reproducible. It directly measures phagocytic association with, and oxidation of neutrophils (representative of host/pathogen interaction) and can deliver results within 4 h of venepuncture. This assay can detect attenuated phagocytic function in patients with severe compared to mild-moderate community acquired pneumonia.

Pneumonia is the most frequent source of sepsis 138 requiring critical care admission and induces dispropor-139 tionate rates of mortality and morbidity compared to 140 other severe infections [7]. In light of increasing antimi-141 crobial resistance, there is increased pressure to inves-142 tigate potential immunomodulatory agents, such as 143

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	ITU (n = 16)	Ward (n = 15)	Outpatient (n $=$ 15)
Female	9	9	9
Age <sup>a</sup>	57 (38–68)	64 (38–80)	49 (43–63)
SOFA <sup>b</sup>	9 (4–12)	1 (0–3)	N/A
CURB-65 <sup>b</sup>	3 (3–4)	3 (1–4)	N/A
Mortality (28 day)	2	0	0
Hospital LOS	18 (9–26)	6 (2–11)	N/A
ICU LOS	10 (4-17)	N/A	N/A
Respiratory support	Invasive ventilation = 11	Room air $= 11$	Room air $=$ 15
	Face mask CPAP $=$ 3	Nasal specs $=$ 4	
	Face mask high flow $=$ 2		
Microbiology	No growth $=$ 9	No growth $= 15$	N/A
	S. pneumoniae $=$ 3		
	E. $coli = 1$		
	Influenza = 1		
	Metapneumovirus $= 2$		
Beta-lactam antibiotic (glycopeptide synthase	Benzylpenicillin=4	Benzylpenicillin = $9$	N/A
inhibitor if penicillin allergic)	Amoxicillin = 2	Amoxicillin = 1	
	Tazocin = 9	Tazocin = 4	
	Teicoplanin = 1		
Adjunct antibiotic	Clarithromycin = 13	Clarithromycin = 11	
	Clindamycin = 1	Ciprofloxacin = 1	
	Gentamicin = 1		
	Metronidazole $= 1$		
Antiviral	Oseltamavir = 3	Oseltamivir = 1	

## Table 1 Clinical findings of ITU and ward patients in comparison to healthy control

ITU, severe sepsis patients; ward, sepsis patients; outpatient indicates healthy control; SOFA, sequential organ failure assessment score; CURB-65, pneumonia severity score based on confusion, urea nitrogen > 20 mg/dL, respiratory rate > 30 breaths/min, heart beat: Systolic BP < 90 mmHg or diastolic BP < or = 60 mmHg) and Age  $\geq$  65; ICU, intensive care unit; LOS; CPAP, continuous positive airway pressure; N/A, not applied

<sup>a</sup> Median (range)

<sup>b</sup> Median (25th–75th percentile)

GM-CSF and interferon gamma [3], using a personalised 144 approach to therapy [2]. To date, only indirect cell sur-145 face markers of phagocyte function have been employed 146 in clinical trials [8]. Previously described zymosan neu-147 trophil assays require cell purification (removing the 148 inflammatory milieu) and are time consuming [9]. Other, 149 150 recently described, whole blood functional assays exist [10]; however, these have not been studied in the context 151 of sepsis. Direct comparison of these functional assays 152 would be useful. Our approach promotes direct measure-153 ment of phagocytic function and will be used as the pri-154 155 mary pharmacodynamic outcome measure for a planned first-in-human clinical trial with P4 peptide [5]. 156

In summary, we present a simple, clinically relevant assay that can be used to measure neutrophil phagocytic function in patients who present clinically with community-acquired pneumonia. This approach has the potential to be applied in a wider clinical context to measure neutrophil function in inflammatory disease and potentially direct immunomodulatory therapies.

## Limitations

Due to the relatively small cohort size, we were unable to 165 study factors predictive of poor neutrophil function (e.g. 166 microbiological status), or relationship to patient out-167 comes. Future large-scale studies could assess these in 168 cohorts suffering from pneumonia and undifferentiated 169 sepsis disease states. Results could potentially be used 170 to inform 'normal-range' neutrophil function and triage 171 patient admission decisions (e.g. promote direct critical 172 care admission) and/or direct targeted immunomodula-173 tory therapies. Future investigations should seek to age-174 match outpatient controls to mitigate for this potential 175 confounding factor in our study. 176

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**Fig. 1** Neutrophil phagocytic index in whole blood samples taken from patients with severe and mild/moderate severity community-acquired pneumonia ("ITU" and "ward" respectively), and respiratory outpatients with no acute inflammatory disease. Phagocytic index was calculated after 45 min incubation. Neutrophils were identified according to the expression of CD16. Neutrophil oxidation ratio (OR) was calculated as the mean fluorescence intensity (MFI) of the reporter fluorophore (FITC) divided by the MFI of the calibrator fluorophore (Pacific Blue). Neutrophil phagocytic index (PI) was calculated as the number of neutrophils associated with reporter beads divided the total neutrophil number multiplied by the OR. Each dot represents data collected from a single volunteer. Samples were incubated at 37 °C, with shaking, in the presence of either **a** a vehicle control, **b** PMA or **c** LPS. Comparisons were made using Kruskall–Wallis (3 groups) and Mann–Whitney U (2 groups) tests, as appropriate

# 177 Supplementary information

Supplementary information accompanies this paper at https://doi.
 org/10.1186/s13104-020-05034-0.

0	Additional file 1. Figures S1-S2, Video S1 caption, and standard operation
1	procedure.
2	Additional file 2. Video S1.

## 183 Abbreviations

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- CAP: Community-acquired pneumonia; MFI: Mean fluorescence intensity; OR:
   Oxidation ratio; PI: Phagocytic index; PMA: Phorbol-myristate-acetate; LPS:
   Lipopolysaccharide; PMT: Photomultiplier tubes.
- A durante de contra
- 187 Acknowledgements
  188 The authors acknowledge the support of the research nurses based at Aintree
  189 University Hospital and the Royal Liverpool Hospital for patient recruitment
  190 and prospective clinical data collection: Sister Colette Jones-Criddle, Sister
  191 Karen Williams, Sister Anna Walker, Sister Victoria Waugh, Sister Julie Patrick192 Hesselton, Sister Sam Hendry, and Charge Nurse David Shaw. Flow cytometry
  193 acquisition was performed on a BD LSR II cytometer funded by a Wellcome
- 194 Trust Multi-User Equipment Grant (104936/Z/14/Z).

## Authors' contributions

J Reiné, J Rylance, DF, SHP and BM contributed to conceiving, designing, performing and analysing experiments and writing of the paper. J Reiné, J Rylance, DF, SHP and BM contributed to conducting and analysing experiments. J Reiné, J Rylance and BM contributed to sample collection and/or design of the study. J Reiné, J Rylance, IDW, RP and BM contributed to conceiving and analysing the study and experiments. All authors read and approved the final manuscript.

## Funding

This work was funded by Medical Research Council Confidence in Concept awarded to Dr Rylance, Dr Morton, Prof Ferreira and Dr Reiné. Dr Morton and Dr Rylance thank the NIHR Global Health Research Unit on Lung Health and TB in Africa at LSTM—"IMPALA" for helping to make this work possible. In relation to IMPALA (grant number 16/136/35) specifically: IMPALA was commissioned by the National Institute of Health Research using Official Development Assistance (ODA) funding. The views expressed in this publication are those of the author(s) and not necessarily those of the NHS, the National Institute for Health Research or the Department of Health.

### Availability of data and materials

The datasets generated during and/or analysed during the current study are available from the corresponding author on reasonable request.



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### 216 Ethics approval and consent to participate

- 217 We recruited healthy volunteers and hospital patients in a two-phase study.
- The North West-Haydock Research Ethics Service (UK) approved this study
- (15/NW/0869), and written consent was obtained for all participants.

## 220 Consent for publication

221 Not applicable.

## 222 Competing interests

All the authors declare non-financial competing interests.

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### 231 Received: 24 February 2020 Accepted: 19 March 2020

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